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ABSTRACT

The role of statewide coordinating/governing agencies in the program review and approval process has grown steadily. It would seem expedient for those involved in the process of state level program review to share ideas, experiences, and concepts of the review process in order to better understand the process itself and to explore possibilities for further development and refinement of their own agencies' procedures. This survey attempts to facilitate the information exchange by the various state agencies in this important area. In January 1975 requests were made to the 50 state coordinating agencies which are members of the State Higher Education Executive Officers (SHEEO) organization for copies of their policies and procedures for program review. For the purpose of analysis, the review procedures utilized by the various states have been divided into two major sections: (1) review of new and expanded programs and (2) the review of existing programs. (Author/KE)

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A SURVEY OF STATE-LEVEL ACADEMIC PROGRAM REVIEW POLICIES AND PROCEDURES FOR HIGHER EDUCATION

Final Report

April 1, 1975

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FOREWORD

A recent report entitled the States and Graduate Education by a Task Force on Graduate Education of the Education Commission of the States (ECS) noted that state level program review is in "an early state of the art" and that..."it will be important to exchange ideas and concepts in order to establish a procedure [for program review] that is uniform for national comparisons and yet adaptable to unique statewide situations". While the need for national standards may be debatable there would seem to be considerable value in an exchange of ideas and concepts regarding program review among the various states. This report is intended to serve as a vehicle for the exchange of ideas and concepts.

R. J. B.

2/26/75

CONTENTS

		Page
	Foreword	i
I.	Introduction	1
II.	Review of New and Expanded Programs	2
	A. Selection of Programs for Review	2
	B. Criteria for Review	4
	C. Mechanisms for Program Review	9
III.	Review of Existing Programs	12
	A. Selection of Programs for Review	13
	B. Criteria for Review	18
	C. Mechanisms for Program Review	18
	D. Summary of Procedures for Review of Existing Programs	19
	Hawaii	19
	Wisconsin	24
	West Virginia	33
	Louisiana	36
	Virginia	38
	Vermont	41
	Nebraska	41
	New York	49
	South Carolina	59
	North Dakota	59
	Tennessee	59
	New Jersey	60
	Floria	64
IV.	Concluding Comment	70
V.	Exhibits	71

A SURVEY AND ANALYSIS OF STATE-LEVEL PROGRAM REVIEW IN HIGHER EDUCATION

I. Introduction

It is perhaps axiomatic that few issues are more sensitive to higher education than that of state-level program review and approval. The idea that "outsiders", "state bureaucrats", or "representatives of a political environment" might meddle in academic affairs probably transcends all of the other administrative and coordinative issues relating to statewide coordination of higher education. The principle of "peer evaluation and review" in academe appears to be as well established as the skepticism of program review by almost anyone else outside Academe.[1]

Despite these long entrenched institutional values favoring autonomy, the role of statewide coordinating/governing agencies in the program review and approval process has been growing steadily. The development of the program review function has paralleled the development of the agencies themselves. Like the agencies, the program review function has emerged from relative obscurity to an important role in the coordination and planning of higher education. Some degree of program review was exercised by the early coordinating agencies primarily in relation to the budgetary process. As the number of agencies increased and their role in the decision making process evolved from voluntary through advisory then regulatory responsibilities, and in some instances, to governing authority, the function of program review has become commonplace. At the present time about forty-four state agencies have statutory responsibility for the review of academic programs. Eight of these agencies have only authority to make recommendations regarding the programs reviewed. The other thirty six agencies have actual approval responsibility. In addition to these states with statutory responsibility, several other agencies conduct reviews as a matter of agency policy.

That this function should increasingly fall upon the coordinating agencies is based on the conclusions apparently reached in many states "that neither the organs of state government nor the institutions of higher education are capable of conducting finely balanced assessments involved in program review, the former because the issues are too complex for non-professionals to handle and the latter because their own self-interest often inhibits their objectivity".[2]

Given this growth in the responsibilities of state-wide coordinating agencies for program review, it is perhaps inevitable that considerable interest will be drawn to this area from both within and outside of the educational community. It would seem expedient for those involved in the process of state level program review to share ideas, experiences and concepts of the review process in order to better understand the process itself and to explore possibilities for further development and refinement of their own agencies' procedures. It is hoped that this survey will be instrumental in the facilitation of information exchange by the various state agencies in this important area.

In January, 1975 requests were made to the fifty state coordinating agencies which are members of the State Higher Education Executive Officers (SHEEO) organization for copies of their policies and procedures for program review. A follow-up letter was later sent to states which had not responded to the initial request. A total forty responses were received from the SHEEO agencies. In addition to those agencies providing the requested information, eight agencies indicated that they had no procedures for program review or were in the process of developing such procedures and could not respond to our request at this time.

A preliminary analysis of the survey shows that while the program review function has not greatly changed in the major criteria utilized (i.e., need, consistency with mission, cost, resources) the required documentation has steadily become more comprehensive and sophisticated. For the purposes of analysis the review procedures utilized by the various states have been divided into two major sections: (1) Review of new and expanded programs; and (2) the review of existing programs. This division has been chosen primarily because of important differences between the two and the more sensitive nature of the latter.

Berdahl[3] and Glenny (et. al.)[4] have identified three key aspects of program review: (1) the determination of the programs to be reviewed; (2) the criteria to be used in judging these programs; and (3) the mechanism or process of review. These same three aspects will be analyzed here with respect to both new and existing programs.

II. Review of New and Expanded Programs

A. Programs to be Reviewed

Most of the procedures adopted by the various states begin with a definition of the programs to be reviewed. These definitions generally set the parameters of the review process with respect to a given agency and are usually based upon the agencies legal authority in this area.

The following definitions are typical of the definition statements:

Example #1 (Rhode Island)

> "Reasonable and moderate extensions or alterations of existing programs do not require board approval, but should come to the attention of the board as an information item. The following programs are subject to review by the Board of Regents:
>
> 1. Any new program of instruction, excluding individual courses.
>
> 2. The proposal for any new department, division, school or college.
>
> 3. Any operation funded from external sources requiring a commitment of state resources which offers a program of instruction that requires an excess of $200,000 in external funds and/or which entails a time commitment of longer than two years."

Example #2 (Arkansas)

> "The Act established that Programs to be evaluated by the board should include:
>
> ...establishment of a college, school, division, institute, department, new curricular or majors leading to a new degree program, extension service, or other unit not presently included in the program of the institution. The term does not include reasonable and moderate extensions as defined by the board, of existing curricular, research or public service programs which have a direct relationship to existing programs ...."

Example #3 (Tennessee)

1. "All new academic programs should be submitted to the Commission for review. A new program is considered to be a new major which leads to a certificate or degree at a level or in a field not hitherto offered by the institution. A new program may involve the addition of courses to a curriculum, or it may consist entirely of existing courses packaged in a manner which constitutes a new major. If an institution desires merely to add an additional option or area of emphasis within an existing major and certificate or degree, this would not require commission action. New credit certificate programs should be approved by the commission. Normally, a certificate program which requires approval is one which requires completion of a prescribed set of degree credit courses. The awarding of a certificate for continuing education or non-college credit work does not require commission action.

2. All new degrees should be submitted for review and action by the Commission. If an institution desires to change the type of degree or certificate which it offers, or add another degree or certificate at the same level currently offered, for an existing major, this should be submitted to the Commission for review. For example, if Institution A offers a Master of Science degree in Accounting and also desires to award a Master of Business Administration degree in Accounting, then Institution A should seek the approval of the Commission.

3. Changes in existing programs or titles should be submitted for action if the change represents a significant variation in the curricular program. For example, if Institution B offers a Bachelor of Science in Botany and a Bachelor of Science in Zoology and desires to consolidate them into a Bachelor of Science in General Biology, then Institution B should request the approval of the Commission. Changes of a less substantial nature which do not materially affect the nature of the program need not be submitted for the Commission's action, but should be reported to the Commission for information only. When an institution discontinues a program or degree or certificate, the Commission should be informed of this, but action by the Commission is not required.

Example #4 (Virginia)

> "For the purpose of evaluation, a degree program is defined as an area of specialization (major) for which recognition is intended to be given by the conferring of a degree. The following factors will be taken into consideration in identifying a degree program:
>
> 1. Program Nomenclature: The title by which the area of specialization is identified.
>
> 2. Program Classification Code: The code number under which degrees conferred are reported on the U.S.O.E. HEGIS Survey, Form 2300-2.1.
>
> 3. Degree Level: The levels of the degree awarded...."

Example #5 (Washington)

> "Program: A series of prescribed courses, research seminars and other related activities in a major field of concentration which results in the awarding of a degree. When 'program' is referred to in subsequent documents concerning the undergraduate level, the term shall apply to only "those programs which require a substantial adjustment of staff and resources."

B. Criteria for Review (See Figure One)

Seven major criteria commonly included in the program review procedures of the various state coordinating agencies can be identified. These seven common criteria are: 1) Program description; 2) purposes and objectives; 3) need analysis; 4) cost analysis; 5) resource analysis; 6) program accreditation; and 7) availability of adequate student financial aid. (Note: The degree of specificity of the required response to each component varies considerably between the states.)

1. Program Description. Usually the first required criteria of program review is a description of the program being proposed. This could range from a simple catalog-type statement to a comprehensive, well-documented report including the entire proposed and related curriculum, prerequisites, credits, method of instruction, degree(s) to be granted and courses taught by related departments.

2. Purposes and Objectives. While the degree of detail required in this area varies, it generally consists of a statement of what the proposed program is intended to achieve and the degree of consistency with the institutional (or other unit) mission and the state master plan (if one exists).

3. Need Analysis. This section in most states is a justification for the proposed program generally concerned with: the need for the program at the institution and within the state; the demand or student interest in the program; the likely projected enrollment; the relationship to manpower needs; the opportunities for employment; the likelihood of unnecessary duplication with similar programs at other public or private institutions within the state and attempts to establish cooperative arrangements with other institutions.

FIGURE ONE
p. 5
*

6

Information Required for Review of New Programs *

State	Degree Level (if indicated)	Program Description: List Curriculum	Program Description: Prerequisites	Program Description: Credit	Program Description: Method of Instr.	Program Description: Degree	Program Description: Description	Purposes and Objective: Consistency w/ Master Plan	Purposes and Objective: Consistency w/ Inst. Mission	Purposes and Objective: Other	Need Analysis: In-State Need	Need Analysis: Student Demand	Need Analysis: Manpower/Oppr.	Need Analysis: Other	Need Analysis: Dupl./Coop.	Cost Analysis: Direct Costs	Cost Analysis: Indirect Costs	Cost Analysis: Reallocation	Cost Analysis: No. Yr. Proj. Cost	Cost Analysis: Source of Funds	Resource Analysis: Related Programs	Resource Analysis: Faculty/Staff	Resource Analysis: Educational Facilities	Resource Analysis: Administration	Accreditation	Evaluation: Timetable	Evaluation: Status	Evaluation: Needs	Evaluation: Pre-approval	Evaluation: Post-approval (time if inidcated)	Statement of Adequate Funding	Availability of Adequate Student Aid
Alabama	D (11)	X	X	X		X	X		X		X	X	X	X	X	X			5	X	X	X	X	X								X
Alaska																																	
Arizona	Graduate	X	X	X		X	X					X	X		X	X			6		X	X	X	X	X	X	X	X				
Arkansas	A & B	X					X	X			X	X	X		X	X			4	X	X	X	X	X	X	X	X	X				
	M	X	X				X	X			X	X	X	X	X	X			4	X	X	X	X	X	X	X	X	X				
	D	X	X				X	X			X	X	X	X	X	X			4	X	X	X	X	X	X	X	X	X				X
California																																	
Colorado	All (except occupational)	X	X			X	X	X	X	X	X	X	X	X	X	X	X	X	4	X	X	X	X	X		X	X					
Connecticut	(16) All					X	X		X			X	X		X	X					X	X	X	X					X			
Delaware																																	
Florida	All	X				X	X		X	X	X	X	X	X	X	X			5	X	X	X	X	X		X	X	X	X			X
Georgia	All	X					X		X	X	X	X	X	X	X	X	X		3	X		X	X	X			X		X			X
Hawaii (1)	All	X	X		X		X		X			X	X	X	X	X	X		6	X	X	X	X	X			X		X			
Idaho (2)	(Phase I) All								X			X	X	X	X	X	X		3	X	X	X	X	X	X	X	X	X	X			
	(Phase II)	X	X									X	X			X	X	X	3	X	X	X	X	X					X			
Illinois	All	X	X	X	X	X	X	X	X			X	X	X	X	X	X	X	5	X	X	X	X	X	X		X		X	X		
Indiana	All	X				X	X	X	X	X	X	X	X		X	X	X	X	4	X	X	X	X		X		X		X	X		
Iowa	All					X	X		X		X	X	X		X	X			4			X	X	X			X	X				
Kansas	All							X (3)	X (3)			X		X	X					X	X	X	X	X					X	X		

FIGURE ONE (cont.)

p. 6

| State | Degree Level (if indicated) | Information Required for Review of New Programs * | | |

FIGURE ONE (cont.)

p. 7

| State | Degree Level (if indicated) | Information required for Review of New Programs * | | |

FIGURE ONE (cont.)
p. 8

| State | Degree Level (if indicated) | Information Required for Review of New Programs * | | |

4. Cost Analysis. This section generally establishes the direct, indirect, incremental and reallocated costs of the proposed program for a given period of years ranging from two to six years and the source(s) from which funding is anticipated.

5. Resource Analysis. The word "resource" is used here in the broad sense to include all the necessary resources, human or otherwise, that are needed to support the proposed program. Some state agencies request a complete faculty vitae while others are concerned only with the number of individuals involved (e.g., FTE, Graduate Assistants, support staff). A number of states require information on equipment, library resources and facilities. Several states require specific information on the administrative requirements of the proposed program.

6. Accreditation. The accreditation requirement can range from a simple statement regarding who, if anyone, accredits the proposed program(s) to a detailed listing of the accreditation requirements, the present accreditation status (in the case of related or expanded programs); what resources or commitment is needed in order to achieve accreditation; and a timetable for meeting the various requirements. A few states also require that programs meet standards of quality such as the guidelines of the National Graduate Council.

7. Financial Aid. A few states require evidence of the availability of adequate financial aid for students primarily in graduate programs.

Use of Formulas

In some states, these various components require the application of specific formulas. Missouri, for example, makes specific reference to the "Clapp-Jordan formula" for determining institutional surpluses or deficiencies in library holdings and doctoral faculty teaching loads "not exceeding two or three courses per term". In other states, only a general statement is requested in response to these various components although the institutions could concievably respond using formulas of their own choosing.

C. Mechanism of Review

There seems to be an almost limitless number of alternate mechanisms and processes for reviewing programs. These mechanisms range from simple single-step procedures (institution to the board) to elaborate multi-phase arrangements which may be intimately related to the entire statewide master planning process. While there is no consensus as to the components of the review process, a typical approach might look like the following:

1. Intra-institutional Approval

   a) Originating unit identified a need

   b) Feasibility of the program is studied

   c) Proposal is developed

d) Proposal is presented to curriculum committee

e) Proposal is recommended by committee to the administration

f) Administration reviews proposal

g) Administration submits proposal to institutional board (if any)

2. Inter-institutional Approval

a) Institutional administration submits the proposal to an inter-institutional committee (or to the coordinating staff which may refer it to an inter-institutional committee).

b) Committee reviews and makes recommendations either to the coordinating agency staff or directly to the board.

3. Coordinating Agency Staff Review

a) In a number of states the institutions are required to submit a "letter of intent" to the coordinating agency at an early stage of the program development process.

b) In a number of states outside consultants review the proposal and make recommendations (they are usually selected jointly by the board staff and the institution).

c) Coordinating agency staff reviews the proposals and the process it has followed, primarily for procedural verification, and prepares a recommendation for the board.

4. Coordinating Board Review

a) The coordinating board reviews the recommendations of: 1) the inter-institutional committee; 2) consultants (if any) and 3) the board staff.

b) The coordinating board approves or disapproves (recommends or not recommends) the program.

5. Post Approval Process

a) In a few states, there is a post-evaluation of the program after so many years or after one full program cycle has been completed. In states where there is a post-evaluation process the criteria of evaluation was generally determined by the institution proposing the program as a part of the approval process.

b) In a few states, such as Idaho, the review process is divided into two phases. Phase I data is for planning purposes. After a careful review of this phase by the division of Postsecondary Education Curriculum Planning of the Office of the State Board of Education and the Academic Vice Presidents' Curriculum Committee, the institution may present the Phase I plan to the State Board of Education for approval.

If the State Board of Education (Idaho) approves the Phase I plan, the institution may proceed with the more detailed Phase II guidelines. The Phase II proposal is reviewed by the Curriculum Committee, The Presidents' Council and the Division of Curriculum Planning before submission to the State Board of Education. Approval by the Board of Phase II would signify approval of the proposed program. Approval of Phase I does not necessarily insure approval of Phase II.

Georgia utilizes a similar process for graduate programs which is divided into three stages: 1) exploratory discussions; 2) preliminary planning and evaluation; and 3) preparation and processing of the final proposal. These various phases are probably indicative of the need for some information at an earlier stage for purposes of planning and to conserve efforts in program development until those efforts are warranted on the basis of preliminary program approval.

Time Frame for Approval

The length of time required in the approval process varies in length from several weeks to several years. Exhibits 1 and 2 show two examples of the program proposal and review process. In some states such as Louisiana, Maryland and Virginia the occasions when programs can be submitted for review are specific (e.g., December 1, for approval of the coordinating board by July or in other states specific months such as May, October and December). In other states no specific board meeting has been designated for program approval making it possible for the institutions to submit proposals at any time. In some states the time allowed for agency review is so short as to make a comprehensive review almost impossible. On the other hand in some states the process is so long as to seem inhibitive. The short period of staff review is offset somewhat if it occurs in a state which also requires a "letter of intent" or "advance notice". The "letter of intent" is generally required to be submitted during the initial planning stages at the institutions, thus providing the coordinating agency with some advance notice for planning and review purposes. States using letters of intent include Maryland, North Carolina and Virginia.

Inter-Institutional Committee Review

Most states which utilize the program review process for new programs have some kind of an inter-institutional committee or council, which reviews proposed programs at some stage of the review process. This committee typically consists of the academic officers of the institutions and in a few instances consists of various mixes of faculty (e.g., Louisiana), institutional presidents (e.g., Kentucky), board members (i.e., South Carolina, Mississippi, Maryland have standing board member committees) and coordinating agency staff. There was no specific mention of student membership on any of these inter-institutional review committees. In some cases the inter-institutional committee reports directly to the coordinating board, in others its actions are submitted

to the agency staff. The group used by Kansas since 1969 to review programs is perhaps typical of many. It consists of a Council of Chief Academic Officers (COCAO) from each institution. Other states which utilize this approach include Alabama, Louisiana, Minnesota and North Carolina.

Consultants

The use of outside consultants is a review mechanism utilized in at least nine states. In some states the institutions hire their own consultants during the institutional phase of program initiation. In other states the consultants are selected by an inter-institutional committee or the coordinating agency staff. The remaining states which utilize consultants use some kind of combination of the above groups to select the consultants. In most cases the names of the consultants and their recommendations are provided for the information of the coordinating board at the time it takes final action on a proposed program. Kentucky and Tennessee appear to make extensive use of consultants in graduate programs.

Dispostion by the Coordinating Board

In most states the coordinating board simply approves or disapproves the program (or recommends or does not recommend it as appropriate to the agency's authority). In a few states the agency may take some intermediate step giving tentative approval or approval with conditions. Other options include referring it back for further study or tabling the proposal for a period of time. In some cases where a program has not been approved, it may be re-submitted after a specified period of time.

Post-Approval Audit

In ten states there is some kind of a post approval review and evaluation process. In at least one state all approvals are tentative until after the post-audit. In some states the institution proposing the program provides the criteria for post-audit evaluation at the time the program is submitted. In other states there are prescribed criteria that each program must meet after a given period of time. The exact period of time in which the post-audit evaluation is conducted varies. In some cases it is a specified number of years based on the program level (i.e., Bachelors, Masters, Doctors). In others it is conducted after the completion of the first full cycle of the program. Illinois uses outside consultants in its post evaluation as well as the criteria and methods of evaluation which were submitted when the program was initially proposed.

III. Review of Existing Programs

A recent task force on statewide planning established by the Education Commission of the States noted that "during the decade of the '60s, the process of discontinuing programs in higher education at the statewide level occurred rarely, if at all".[5] Future enrollment projections however clearly suggest the possibility in the future of "considerable consolidation, reorganization and curtailment" according to the task force report.[6]

The report goes on to suggest that there must be a different basis for phasing out or reorganizing existing programs than is used for the review of new programs. The following factors should be considered according to this report: "1) the number of graduates from the program in each of the last five years; 2) the number of students enrolled in the program (entry and dropout rates); 3) the size of classes and the cost of courses identified as integral elements in the program; 4) cost per program graduate; 5) faculty workload; 6) program quality as reflected by its regional or national reputation, faculty qualifications and level of position achieved by graduates of the program; 7) total production of a program's graduates from all institutions of the state, region and/or nation; 8) the economies and improvements in quality to be achieved by consolidation and/or elimination of the program; 9) general student interest and demand trends for the program; and 10) the appropriateness of the program to a changed institutional role or mission."

Figure two is an attempt to determine which of the ten factors suggested in the ECS report are actually being utilized by the various state agencies for the review of existing programs. This comparison provides some idea as to the various procedures used. However, it also leaves out many other factors and procedures which deserve consideration. In order to provide some information on these other factors, each of the procedures used by the various states has been summarized below following a brief overview.

Programs to be Reviewed

As a cover letter from one agency stated, "Can 300 disciplinary areas in the system (not including all degree levels) be evaluated effectively and efficiently?" The response from the states actually reviewing existing programs would seem to be an overwhelming "No". All the states employ some kind of a screening mechanism, either arbitrary or which delineates the programs subject to extensive review. In South Carolina the screening device was "a very simple test of low average annual degree production".

West Virginia utilizes a more elaborate system of review which requires forced choices into three categories for each of three variables. Sixty percent of the programs are regarded as normal on any given variable. Twenty percent are placed on either side of the normal range. The variables to be considered are cost, institutional priority, quality and output. Each institution has its own method for establishing the scale and determing the values that are assigned to each of these variables. Using this procedure each institution selects the programs that should be studied in greater depth.

Only a few states, such as Wisconsin, have attempted a comprehensive review of all programs and this was done in stages by degree level, beginning with graduate programs. In Wisconsin, the review of master's and specialist programs began in 1972 and was completed in January, 1974. The review of doctoral programs and undergraduate programs is currently underway.

FIGURE TWO

Survey Comparison with ECS Task Forces' Factors for Discontinuance of Existing Programs *

Page 18

State	Degree level (if designated)	Number of graduates in each of the past five years	Number of students enrolled in the program (entry and dropout rates)	Size of classes and the cost of courses	Cost per program graduate	Faculty work load	Program quality as reflected by its regional or national reputation	Production of graduates from similar programs in the state, region or nation	Economies and improvements in quality to be achieved by consolidation/or elimination	Student interest and demand	Appropriateness to a charged institutional role or mission
Alabama (2)											
Alaska											
Arizona (3)											
Arkansas (2)											
California (2)	All			X (10)							
Colorado (2)											
Connecticut (2)											
Delaware											
Florida	All	(three yrs) X									
Georgia (2)											
Hawaii		X	X	X	X	X	X		X	X	X
Idaho (2)											
Illinois (3)		X	X						X	X	X
Indiana (2)											
Iowa (2)											

State	Degree level (if designated)	Number of graduates in each of the past five years	Number of students enrolled in the program (entry and dropout rates)	Size of classes and the cost of courses	Cost per program graduate	Faculty work load	Program quality as reflected by its regional or national reputation	Production of graduates from similar programs in the state, region or nation	Economies and improvements in quality to be achieved by consolidation/or elimination	Student interest and demand	Appropriateness to a charged institutional role or mission
Kansas	Graduate Programs	X	X	X	X		X				X
Kentucky (2)											
Louisiana (4)	Graduate Programs	X					X	X		X	
Maine											
Maryland (5)											
Massachusetts (2)											
Michigan (2)											
Minnesota					X					X	X
Mississippi (2)											
Missouri (2)											
Montana (5)											
Nebraska (8)		X	X	X	X		X		X	X	X
Nevada (2)											
New Hampshire											
New Jersey	Graduate Programs					X	X			X	

FIGURE TWO (cont.)
p. 16

State	Degree level (if designated)	Number of graduates in each of the past five years	Number of students enrolled in the program (entry and dropout rates)	Size of classes and the cost of courses	Cost per program graduate	Faculty work load	Program quality as reflected by its regional or national reputation	Production of graduates from similar programs in the state, region or nation	Economies and improvements in quality to be achieved by consolidation/or elimination	Student interest and demand	Appropriateness to a charged institutional role or mission
New Mexico (2)											
New York	M D		X				X	X	X	X	
North Carolina (2)											
North Dakota (2)											
Ohio	A (only)	X	X								
Oklahoma (2)											
Oregon (7)										X	X
Pennsylvania (2)											
Rhode Island (2)											
South Carolina	Graduate	X									
South Dakota (2)											
Tennessee		X	X		X						
Texas (2)											
Utah											
Vermont (1) (9)	All	X	X		X						X

State	Degree level (if delegated)	Number of graduates in each of the past five years	Number of students enrolled in the program (entry and dropout rates)	Size of classes and the cost of courses	Cost per program graduate	Faculty work load	Program quality as reflected by its regional or national reputation	Production of graduates from similar programs in the state, region or nation	Economies and improvements in quality to be achieved by consolidation/or elimination	Student interest and demand	Appropriateness to a charged institutional role or mission
Virginia	All	X	X								
Washington	All	X									
West Virginia	All	X			X		X				X
Wisconsin	All	X (10 years)	X		X		X		X	X	X

* The factors indicated for each state are either specifically stated in the material submitted or broadly interpreted to be included in these materials.

(1) The criteria indicated has not been approved and is listed here for information only.
(2) Does not presently have procedures for the review of existing programs.
(3) The criteria indicated are for use with new programs and "specifically identified existing programs". Such a review of existing programs is based on outside evaluations and criteria developed when the program was proposed (if recent).
(4) Louisiana's coordinating agency was recently reorganized and the materials submitted were based on actions by the former agency. It is assumed that the new agency (Board of Regents) will continue and expand on the earlier efforts.
(5) Do not have procedures at the present time, however, they are under development.
(6) New York criteria is based broadly on two criteria "need and quality".
(7) Oregon's criteria consists of; 1) evidence of need for the program; 2) consistency with state goals and policies and institutional mission, and degree of unnecessary duplication.
(8) Information indicated pertains only to the University of Nebraska system.
(9) Vermont State Colleges only.
(10) California has conducted studies of high-cost programs in the past but, does not now have a systematic procedure for review.

Criteria for Review

The criteria for review of existing programs are primarily quantitatively oriented in both the "screening process" and in the extensive review of the programs identified by the "screening process". The qualitative component, if it exists in the procedures, is generally the responsibility of the institutions. For example, the Virginia Council for Higher Education refers to its program review as the "Quantitative Evaluation of Degree Programs" and states that "the institutions themselves bear primary responsiblity for the continuous evaluation of the quality of their curricula".

This is not to say that the quality of programs is not taken into consideration. New Jersey's procedures and standards of judgment which govern their review are described in a document entitled "Developing and Strengthening Graduate Programs in New Jersey State Colleges" which is based largely on the qualitiative standards developed by the National Graduate Council. In the case of New Jersey compliance with these standards is largely determined by outside consultants who have been jointly chosen by the institutions and the Department of Higher Education. New York has also used consultants in this way.

In terms of other criteria, the components identified earlier in this report in the review of new programs are also used in the review of existing programs. In Wisconsin, for example, the major criteria examined include: a description of the program, program objectives, need, student demand, faculty-staff, curriculum, resources, facilities, finances and accreditation, the same general areas reviewed with regard to new programs.

Mechanism of Review

The process of review, as mentioned earlier, generally consists of two phases. The first phase is usually a screening process used to identify programs which are of questionable need, productivity, quality or other criteria. The second phase is the extensive review of the programs identified in Phase One. The extensive review is then studied by either the agency staff or by some inter-institutional committee. In some states the results of the review are merely made known to the agency, the legislature, the governor, etc., and the elimination of low quality, low productive programs is a voluntary one taken by the institution with the questionable program. In other states, generally those with governing and regulatory boards, the board itself makes the decision to terminate a given program.

D. Summary of Procedures for Review of Existing Programs

Hawaii (University of Hawaii)

The University of Hawaii utilizes the same basic format for the review of both new and existing programs. Established programs are, by Board of Regents policy, reviewed in-depth every fifth year. Each campus is responsible for developing a program review schedule with annual updates. Each review covers, 1) program developments during the past five years, and 2) plans for the following six years on each applicable item provided in the system-wide guidelines. Reviews of particular programs may be undertaken at any time deemed necessary by the faculty, administration or board.

Processing Procedures. Reviews flow from the department, division, institute or an equivalent unit chairman; to the college provost, dean to the graduate division; to the chancellors (vice presidents for community colleges); to the university president for review and submission to the chairman of the Board of Regents for review by appropriate committees and for scheduling for formal action by the Board of Regents.

Primary responsibility for setting program priorities, developing new program proposals and evaluating existing programs, rests with the faculty, students and administrators at each campus within the university system. Within the broad system-wide policies and procedures each campus formulates procedures for the review of new program proposals and for the continuous review of established programs.

System-wide Guidelines

Introductory Summary Statement

This statement should be as concise as possible, i.e., about three pages giving an abstract of accomplishments and of plans for the next six year period. It should include a summary of accomplishments and plans; specific objectives and need; relationship to system-wide, campus, and departmental objectives and plans; relationship to other programs within the system; actual and/or estimated enrollments (number and ratio -- state, foreign, mainland); job placements and job market supply and demand (numbers -- state, foreign, mainland); actual and/or estimated annual operating costs and specific funding needs by year, e.g., total cost, FTE/student cost, per student credit hour cost; revenue sources by years; CIP requirements; alternative plans if funding expectations are not realized; arguments for and against having the program at this University; and results of completed academic and other reviews.

Details and Analysis

This section provides guidelines for instructional programs and should be modified as appropriate for research and public service programs.

A. Objectives:

1. What program accomplishes or achieves.

2. Relationship to system-wide, campus, college, and departmental/division/institute objective and plans.

3. Relationship to similar or related system-wide programs and fields of study, and acceptability for credits by other units. Justification for having a separate program.

4. Historical development of the field and development of departmental/divisional/institute strength.

5. Need for program including state, national and international aspects.

6. Specific justification for the program at the University of Hawaii. Other institutions with such a program.

B. Target Group:

1. Enrollments of student majors (not course registrations) by levels and concentrations.

2. Origin of student majors by percentage (state, mainland, foreign).

3. Service to student non-majors by programs, courses, and student credit hours.

4. Other distinguishing characteristics, e.g., economically disadvantaged.

C. Program Elements:

1. Prerequisites for admission, e.g., course or degree and foreign language requirements.

2. Options available (Masters A, B, and C.)

3. Principal methods of instruction.

4. Required and recommended courses (relationship to program objectives).

5. Special requirements over and above regular minimum requirements of related programs.

6. Relationship and impact of current programs to proposed; relationship of vocational to undergraduate, of undergraduate to graduate, and of master's and doctoral programs.

7. Student credit hours, by levels, required to complete the program.

8. Student credit hours of instruction provided by levels.

9. Specific fields of emphasis or concentration.

10. Sample programs if there is flexibility in offerings.

11. Examinations -- performance, written, and oral -- sequence and estimated time involved.

12. Expected end of program outcomes, competencies of students, thesis and/or dissertation.

D. Courses:

1. Current, proposed, and projected courses with prerequisites and instructors.

2. Relationship of courses to program specifically indicating which provide background for any concentration.

3. Plans for modifications of courses including consolidations, additions, and deletions.

4. Relationship between undergraduate and graduate course sequences.

E. Measures of Program Effectiveness:

1. Average length of time full-time students complete program requirements.

2. Percentage of students that complete the program annually.

3. Professional examination or other requirements for employment, e.g., percentage goal of graduates to pass professional examinations and percentage goal of placement of graduates in the field.

4. Types and results of accreditation reviews.

5. Criteria, results and plans on evaluation of faculty.

6. Results and plans on student counseling and advising, i.e., faculty role.

F. Discussion on Alternatives:

1. Alternative means to meet objectives and needs, advantages and disadvantages, and unit and total costs.

2. Specific reasons this program considered the best alternative.

G. Personnel Requirements:

1. Faculty, including pending appointments -- names, ranks, position count, professional qualifications, and total publications. (For graduate programs, include experience faculty have had guiding theses and/or dissertations sample of theses and/or dissertations for which faculty served as chairman, and master's and doctoral theses completed.)

2. Relationship of faculty qualifications to program objectives.

3. Past and current positions, position counts, and costs of administrative, faculty, graduate assistant, lecturer, and support personnel.

4. Proposed new positions, position counts, and costs for administrative, faculty, graduate assistant, lecturer, and support personnel over the next six years.

5. Current and planned faculty mix by rank. Overall average faculty salaries.

6. Tenuring plans for faculty, i.e., categories and percentages by rank.

7. Past experience and plans for providing faculty with additional compensation besides regular compensation.

8. Current and proposed faculty work assignment guidelines, e.g., minimum and average class sizes, student/faculty ratios, minimum and average weekly instructional contact hours, minimum and average semester credit hours, levels of courses to be taught concurrently, non-compensated research and public service expectations in average hours per week, products or services, and publishing or exhibiting results.

9. If no funds being requested, source of faculty and support resources.

10. Shared or split appointments of faculty and staff with other programs or activities.

11. If graduate program, impact upon undergraduate instruction, i.e., type and student credit hours of undergraduate courses to be taken.

12. Faculty development program and plans.

H. Financial Requirements Other Than Capital Costs:

1. Costs for:

a. Supplies and other current type expenses.

b. Equipment -- include a list of available equipment and required additions.

c. Campus services.

d. Building operations and maintenance.

e. Student services

f. Computer services

g. Libraries -- include list of journals with dates, current holdings, and required additions -- note consultation with Library.

2. If no additional costs projected, source of required resources.

3. Shared resources with other program or activities.

I. Student Costs:

Excluding CIP, actual and estimated cost per student credit hour, per FTE student major by level of instruction, per graduate. Comparison with other similar programs within the System.

J. Capital Improvements (CIP):

1. Additional space or facilities required, specific program justification, estimated costs, and desired time schedule.

2. If no additional CIP, amount, source, and justification for required additional space or facilities, including alterations or renovations, estimated costs, and desired time schedule.

3. Plans to accommodate activities to be displaced from existing space or facilities.

4. Shared space and facilities.

5. Present and projected library facilities for the program -- note consultation with Library.

K. Program Funding:

1. Types, amounts, and source, legal reference or authorization for each type of program funding, i.e., general, federal, special, foundation.

2. Plans if non-state funding decreases.

L. Further Considerations:

1. Special problems or expected developments.

2. Other significant issues.

Wisconsin (University of Wisconsin)

The University of Wisconsin has conducted (or is conducting) a comprehensive audit and review of all existing academic programs. The masters and specialist program audit and review was completed in January, 1974. At that time the review of doctoral programs was delegated to University of Wisconsin-Madison and University of Wisconsin-Milwaukee. An undergraduate review has now been initiated. The following statements about the review process are based on the process established for the review of undergraduate programs but is generally consistent with that developed for programs at other degree levels within the UW system.

In delegating the task of audit and review to the institutions, the central administration seeks to recognize fully that the health of the academic offerings of each institution is a primary responsibility of its faculty. For this reason, each institution was asked to develop those procedures which it judges best adapted to its form of governance, and most likely to accomplish the goals established. The involvement of the central administration in the process will be limited to: a) the distribution of the general guidelines; b) the verification of the fact that the process and procedures undertaken by the institutions meet the expectations of the guidelines; and c) the receiving of campus reports to the end that the consequences of the process can be made known to the Regents, and that the effective practice developed by one institution can be communicated to others.

Definitions and Goals

The general intention of audit and review of established undergraduate and extension programs is that of enabling institutions of the System to provide for students the most effective range of academic offerings possible within their available resources. Within this general intention, certain specific purposes need to be highlighted:

(a) The establishment in each institution of a method or methods for identifying from the total spectrum of programs those which should receive thorough review by the faculty and institution in a particular period of time. One of the methods which should be used for such identification is that of audit. An audit is the examination of each academic program in terms of a limited number of readily quantifiable indicators of the condition of the program.

(b) The establishment in each institution of a procedure for reviewing in depth the condition of any program identified for such intensive reexamination. The review is a judgmental process which uses information provided in the audit, plus additional relevant information or analysis, to reach a judgment concerning what steps, if any, should be taken relative to the program receiving review. Decisions to strengthen, consolidate, reorganize, or phase out a given program could be logical consequences of an intensive review.

(c) Developing through (a) and (b) an on-going process of audit and review at the institutional level which assures that each institution, as part of its continuing responsibilities, has in operation procedures which will assure continuing audit and review of established programs, identification of problems, and deliberations leading to decisions as to how these problems may be met.

Of the three specific purposes identified, the last, (c), is the one having the most important consequences. The specific audit and review process now undertaken should lead deliberately to establishment of an on-going process at each institution, including establishment of the criteria and procedures.

Audit Procedures

Emphasis should be given to the fact that an audit does not create a presumption that the programs selected for intensive analysis are in fact in trouble or headed for trouble. The indicators used for audit purposes may suggest this, but more intensive analysis may lead to a quite different judgment.

Emphasis should also be given to the fact that an audit process should not be the exclusive means of identifying programs which should be given a more intensive analysis. For a variety of judgmental reasons, administrators or planning committees for a particular institution might ask for more intensive review of a program which had not been selected through the audit process. For example, the anticipated retirement or departure of key faculty members in a given program might create a presumption that review of the program should be undertaken prior to restaffing; or a regularly scheduled site visit by an accreditation team might catalyze an institutional audit and review of a program in conjunction with the preparation of documents for the visitors; or planning studies concerning the minimum staffing which should be maintained for the essential programs of an institution might generate need for review of particular programs; or recommendations from system-wide or institutional task forces on curriculum changes could also generate need for program review. The point to be made is that an audit procedure will support an on-going process of review, but is not the exclusive means of generating reviews.

The specific purpose for establishing an audit procedure is to make use of a few accessible and objective indicators to single out programs that may need special attention. Once such indicators have been identified, it becomes relatively easy for an institution to select the set of programs needing more intensive analysis. In this sense, an effective audit procedure makes possible the identification of those programs which should receive immediate attention.

Audit Indicators

The following indicators are among those variously identified as potentially useful for purposes of an audit of an undergraduate program:

(a) A five-year history of numbers of majors, numbers of graduates, numbers of FTE students taught, and numbers of faculty relative to majors and FTE students.

(b) Class size and student distribution by level.

(c) Cost per student credit hour of instruction.

(d) Comparison of data concerning a given program with data for the department offering the program as a whole, with other programs offered by the department; or with other programs in the division within which the program appears.

(e) As available, information on persistence of students within the program; student satisfaction with the program; and experience of graduates from the program.

It is understood that each institution will establish criteria to be used in auditing, as well as the procedure by which information gathered in the audit is used to select programs to receive additional study. University Extension and the Center System will need to develop indicators appropriate to their programs.

Review Procedures

Intensive analysis of programs selected through audit or identified by other means will be carried out by the institution, using procedures which they find most suited to their faculty and administrative structures. This will normally involve a thorough study of the program at the departmental or other appropriate level with a report on its status to the institutional committees conducting the review. The format for such a report should be ACIS-1, Format #4 (see Appendix A), modified by the instituion, if necessary, to best meet specific institutional program review needs.

Institutions identifying a large number of programs for review as a result of an initial comprehensive audit may find it necessary to have intervening procedures which select only a portion of these programs for immediate review. Such procedures may include preliminary discussion of audit data with the department or the introduction of additional information by the department which would materially affect the significance of the audit data. Those programs which continued to indicate problems would receive highest priority for review.

The institutions shall specify the procedures by which programs will be reviewed and the criteria upon which judgments will be reached. This will be followed by the notification of subsequent actions which will be taken relative to the programs reviewed.

Reporting

By February 1, 1975 each institution shall report to Central Administration, Academic Affairs, its plans for undergraduate or extension program audit and review, including a statement of the criteria to be used in audit, the process to be followed in selecting programs for review, and the procedures and decision-making process to follow program review.

By June 1, 1975 each institution shall provide to Central Administration, Academic Affairs, either an interim or final report on its undergraduate or extension program audit and review. If the report is interim in nature, each institution should specify its timetable for completing the initial cycle of audit and review. The June 1 report should also include a description of the "on-going process of audit and review" developed by the institution. Academic Affairs will summarize these interim or final reports in an information report to the July, 1975 meeting of the Board of Regents.

Institutions projecting completion of the current cycle of audit and review in 1975-76 should provide a final report at the completion date specified in their interim report. Academic Affairs will provide the Regents with summaries of these final reports as they become due.

Graduate Audit and Review

As previously indicated, the doctoral audit and review was delegated to the UW-Milwaukee and UW-Madison institutions in spring, 1974.

At the time of this delegation, the Graduate School of UW-Milwaukee had established a continuous process for intensive review of all graduate programs on a five-year cycle. As a result of this process, all doctoral programs have either been the subject of or are presently scheduled for review by the graduate faculties, using external examiners in each case. A summary report on the UW-Milwaukee procedures, and the determinations made to date on the basis of these procedures, is appended as Appendix B.

The Graduate School of UW-Madison has initiated audit of all existing doctoral programs for the purpose of identifying programs for which complete review will be conducted over the next four years. A summary report on the audit procedures, the factors considered, and the projected annual schedule of the review process, is appended as Appendix C.

In the University Cluster, several graduate programs were identified in the master's/specialist audit and review exercise conducted earlier this year as requiring regional/consortial review. These regional/consortial reviews will be conducted by the appropriate set of regional campuses and their procedures, process and criteria will be submitted to Central Administration, Academic Affairs, as soon as developed, including the time schedule for review. The final report on this aspect of the master's/specialist audit and review will be prepared for the Board of Regents in July, 1975.

ACADEMIC PROGRAM FORMAT #4 December, 1974

University of Wisconsin

REVIEW OF EXISTING ACADEMIC PROGRAM

I. DESCRIPTION

1.1 Exact Designation: _____.

1.2 Department or Functional Equivalent: Department of _____; or Functional Equivalent with members representing Departments of _____.

1.3 School, College or Functional Equivalent: School or College of _____; or Functional Equivalent _____.

1.4 Unit: University of Wisconsin - _____.

1.5 Current Area(s) of Concentration: Specify the current areas of concentration in the program.

1.6 Program Changes Planned: What changes, if any, are planned in the program during the next several years? (Be specific).

II. PROGRAM OBJECTIVES

2.1 Statement of Program Objectives: This program is designed to accomplish the following objectives:

2.2 Relationship to Existing Unit Mission and Academic Plan: Describe, including relationship to existing department(s) or functional equivalent.

2.3 Closely Related Unit Programs and Areas of Strength: List other closely related programs or areas of strength currently offered or planned and describe the effect of this program on them. How do related programs and strengths in other academic areas support the proposed program?

2.4 Changes in Program Objectives: What changes, if any, have occurred in program objectives within recent years?

2.5 Anticipated Changes in Program Objectives: What changes, if any, in program objectives are being considered for the near future?

III. NEED

3.1 Similar Programs Elsewhere in Wisconsin: List similar programs and the names of institutions (public and private) offering the same or a similar program.

3.2 Location of Nearby Similar Programs Outside of Wisconsin: Names of institutions and locations.

This format will be modified as experience leads to higher levels of sophistication and demonstrates a need for adapting to variations in institutional and programmatic complexity.

3.3 Relationship With Other Programs: Are there precedents, previously endorsed program plans, or major existing curricula in a related area which bear on this program (Explain).

3.4 Justification for Program Continuation: Specify area, state, or national need for graduates. Provide placement data; including, geographical distribution, job level, and occupational title, for at least the previous 3 years. Cite any pertinent studies or data.

3.5 Outside Interest in the Program: Identify interest on the part of local groups, industry, research centers, other educational institutions or state agencies. Indicate the nature of contacts made with these groups and the results of these contacts.

IV. STUDENT DEMAND

4.1 Enrollment Statistics: Provide enrollment statistics for the past four years along with present enrollment and enrollment projections for the future. Indicate declared majors (degree candidates) for levels II, III, and IV for the past four years.

4.2 Anticipated Effect on Enrollment of a Similar Program: If a similar program were authorized at another University of Wisconsin Unit, what would be the anticipated effect on program enrollment?

4.3 Degrees Granted: If a degree program, how many degrees have been granted through the program during the prior 10 years?

4.4 Follow-Up and Student Placement: Provide as much information as possible with respect to former students in the program (placement information, continuing degree work, etc.)

4.5 Enrollment Capacity: What capacity does the program have to absorb additional enrollment without significant added cost? Please indicate rationale.

4.6 Anticipated Changes: Provide information on anticipated changes in program size. Give data to justify estimates of growth or decline.

V. PERSONNEL (FACULTY-STAFF)

5.1 Faculty Who Are Direct Participants in the Program: Attach a list of present departmental faculty who are involved in the program, including date of appointment, present rank, highest degree and granting institution, and other pertinent information.

5.2 Support or Advisory Faculty: List faculty, including those in other than the sponsoring department, who are involved in supporting or advisory roles.

5.3 Current Support Staff: Provide the number and position titles of current support staff used in the program.

5.4 Special Competencies of Existing Faculty: Indicate areas of specialized competence as demonstrated by research or prior experience.

5.5 Strengths or Specialties Not Existing in Present Faculty: What strengths or specialties not possessed by current faculty would be desirable to improve the program?

5.6 Anticipated Changes: What staff losses or additions are expected and how will they affect the program?

VI. CURRICULUM

6.1 Course Listing: List departmental courses for the program in class sequence and give a sample course spread (including non-departmental prerequisite and required courses) for an appropriate period of time. If new courses are to be offered in the next year, please include a separate list of such courses. What courses have been deleted or substantially updated in past five years?

6.2 Strengths/Unique Features: Describe any special departmental strengths and/or unique features of the program.

6.3 Departmental Deficiencies and Planned Remedies: Describe any departmental weaknesses or deficiencies, along with plans for eliminating these (include expected timetable.)

6.4 Mediated Instruction (if any): Is any of the instruction delivered via media? If so, please describe. If not, do you plan to develop any instructicnal media? (Specify).

6.5 Interrelationships with other Curricula: What other programs within the institution make use of instruction provided through this program? Describe.

6.6 Anticipated Changes: Describe curricular changes planned for the program which would affect its enrollment, staffing or costs.

VII. INFORMATIONAL RESOURCES/LIBRARIES

7.1 Library Resources: What are the special strengths in available library resources as they relate to the current program? What is the departmental library budget?

7.2 Special Resources: What, if any, special informational resources (slides, tapes, etc.) are used in the program? Provide an inventory.

7.3 Correcting Resource Deficiencies: If library or special resources are insufficient, what plans have been made to correct these deficiencies?

VIII. FACILITIES - EQUIPMENT

8.1 Current Facilities and Capital Equipment: List facilities such as classrooms, laboratories and fixed movable equipment (over $100 in value) currently available and used in the program.

8.2 Needed Additional Facilities: What additional facilities, if any, are needed in order to improve the quality of the program being offered? List any such items proposed for the next two biennia and provide a cost estimate for each biennium.

8.3 Needed Additional Equipment: What additional fixed and movable equipment, if any, is needed in order to improve the quality of the program being offered? List all items proposed for the next two biennia and provide a cost estimate for each biennium.

IX. FINANCE

9.1 Total Program Costs: Using the attached chart, calculate the total costs for the program.

9.2 Percent Breakdown by Instruction/Research/Public Service: Estimate the percentage of total program time in the areas of instruction, research and public service.

9.3 Student Financial Aids: List financial aids available to students in the form of scholarships, fellowships, etc. and the sources of these aids. Include available dollar amounts in the appropriate space on the attached chart.

X. ACCREDITATION

10.1 Accreditation Status: If accreditation has been attained please provide name of accrediting agency, date accredited and periodicity of accreditation. If not accredited, outline plans for attaining it.

University of Wisconsin

SUMMARY OF ESTIMATED TOTAL COSTS FOR EXISTING PROGRAM

Date _____

Unit _____

Program _____

Degree _____

36

	FIRST YEAR OF BIENNIUM		SECOND YEAR OF BIENNIUM		TOTAL CURRENT BIENNIUM		TOTAL NEXT BIENNIUM	
	Amount	# FTE	Amount	# FTE	Amount	# FTE	Amount	# FTE
FACULTY								
GRADUATE ASSISTANTS								
SUPPORT PERSONNEL								
Sub-Total								
	Amount		Amount		Amount		Amount	
SUPPLIES AND EXPENSES								
CAPITAL EQUIPMENT								
LIBRARY RESOURCES								
SPECIAL INFORMATIONAL RESOURCES								
COMPUTING RESOURCES								
OTHER EDUCATIONAL SUPPORT SERVICES								
Sub-Total								
Grand Total								
Amount and Percentage of Total Anticipated from:	Amount	%	Amount	%	Amount	%	Amount	%
STATE APPROPRIATIONS								
FEDERAL FUNDS								
OTHER SOURCES								
Total		100		100		100		100

West Virginia (Board of Regents)

The West Virginia Board of Regents last reviewed programs in 1972 and is now in the process of reviewing all existing programs that have been in operation a prescribed number of years plus new programs which need approval for starting in 1975 and 1976.

According to Regents policy, programs are reviewed according to the following schedule:

The review process will occur in two stages. The first stage will sort programs into two categories: 1) those that need a more extensive review; and 2) those that do not. The second stage will be the more extensive review. The first stage is scheduled to last about thirty to ninety days and should be completed by May 1, 1975.

STAGE I

The variables to be considered are cost, institutional priority, quality and output. It is recognized that each institution will have its own method for establishing the scale and determining the values that are assigned to each of these variables. In some cases, the procedures used are quite subjective. In others, there is a greater attempt toward quantification. Although there is no attempt to require uniform methods at separate institutions, the board expects to receive background information on institutional procedures for rating these variables.

The purpose of the initial stage of the review is best met by requiring forced choices into three categories for each of these variables. Sixty percent of the programs should be regarded as normal on any given variable. Twenty percent should be placed on either side of the normal range. Funds other than State-appropriated funds distributed on SCH basis may be a significant factor in a program. In such cases, this should be noted and specifically taken into account in the decision to request review or not. Using this information each institution will select the programs that should be studied in greater depth in order to determine whether action to inititate or terminate is desirable. Also, the Director of Academic Affairs may place programs on this list.

The number of programs which should be selected for in-depth review will relate to the size and to the rate of change of the institution. The programs which are selected will, to a very real extent, control the nature of the development for the institution during the next few years. Therefore, it is critical that the review incorporate an analysis of faculty utilization or needs for each program. This will require arbitrary distinctions between faculty contribution to the program and faculty effort that is more properly classified as service or general education. Although the estimates of FTE faculty per program will be inexact, it is desirable to make a reasonable effort to understand the relation between the program and the number of FTE faculty required for its operation. When contemplated changes in the size or quality of a program will cause a change in the number of faculty required for the program, that change in number of faculty also should be recorded in the institutional reports.

For purposes of this review, some institutions will deal with programs in subgroups rather than attempting a comparison of all programs in the institution. An example of useful subgroups might be associate, baccalaureate, master's and doctoral level degree programs. Another type of subgroup might be by funding formula (i.e., nursing, engineering, etc.). In any case, it may be useful to recognize that the definition of normal will vary and that groupings should be selected to make comparisons in the most meaningful and useful manner. Indeed, in some instances a group might consist of a single program (law or nursing).

The attached Exhibit A gives a suggested format for summarizing information.

STAGE II. Program Review (Early Thinking About the Second Stage)

The second stage will begin immediately after identification of new programs and programs requiring more intensive review. Hopefully, this will start early in January.

The overall thrust of the second stage is to clarify the choices and to relate these choices with their consequences. Program change, either through evolution or through addition-deletion, is a necessary development in the overall higher education system of West Virginia. At the institution level, program change gives one of the clearest evidences of the institution's relation to its mission in the State. Therefore, the decisions regarding addition, deletion or change of programs will be a highly significant factor in the development of each institution and the system as a whole during the next two years.

The number of faculty in the total state system is a major determinant for the number of areas where a program or programs can be offered. The greater the number of faculty, the greater the number of distinct programs that can be staffed. The converse also is true. Therefore, the review will be tied closely to the number of faculty which is expected in the system during the next few years.

Through discussions with each institution plus analysis of budget and enrollment data, a determination will be made regarding the number of faculty each institution is likely to have during the next two years. Given this number, each institution will be requested to answer the following questions about new programs which are being requested and the old programs selected for review.

1. What are the consequences associated with whether or not this program is offered?

2. If it is offered, what changes are expected during the next two years and what are the conditions for its continuation?

3. Relate the number of faculty expected for your institution to the choices for adding or deleting programs.

West Virginia

Exhibit A

NAME OF INSTITUTION _____

PROGRAM SUBGROUP _____

Level of Program	Taxonomy	Name	Degree Designation	Cost[1]	Output[1]	Priority[1]	Quality[1]	Current Faculty[2]	Further Review	Possible Change In Faculty[2]
4	0401	Biology	B.S.	N	N	Y	N	2.5	No	None
4	0506	Bus.Adm.	B.S.	X	X	N	Y	2.0	No	+1.0
4	1002	Art	B.A.	Y	Y	X	Y	3.0	Deletion	-3.0
4	2104	Community Planning	B.S.	N	X	X	N	None	Addition	+2.0

[1] N designates normal, X designates some advantage, and Y designates some disadvantage.

[2] Number of FTE positions directly associated with the program. Effort in instruction where majority of enrollment is by students in another program have been excluded.

Louisiana (Board of Regents)

Effective January 1, 1975 the Louisiana Coordinating Council for Higher Education became the Board of Regents. Previously, the Coordinating Council was authorized to review existing programs and make recommendations regarding them to the governing boards of the respective institutions. This was done only in the case of graduate programs, in which some preliminary work was done in the development of and application of evaluative criteria for graduate education. The preliminary work is described below.

Preliminary Guidelines.

Pursuant to an assessment of existing graduate programs, the role of graduate education must be fixed firmly in the minds of evaluators. The accepted role is fourfold:

1. The education and development of skilled individuals;

2. The production of knowledge;

3. The preservation and transmission of knowledge;

4. The improvement of the quality of life.

Evaluation must proceed with care to demand excellence and accountability at the same time protecting the role of graduate education.

The next step in the evaluation to date is to develop criteria based on the experience of other states and agencies to present to the institutions, the Academic Affairs Committee, and the Council for their consideration. Three broad areas have been identified for examination; 1) productivity, 2) quality, and 3) duplication. One criterion has been identified as useful in each of these areas.

1. Productivity - At least six graduates in the past three years. (Source: studies and evaluations in other states.)

2. Quality - At least five terminal degree holders on the faculty of any department offering the doctorate, and at least four terminal degree holders on the faculty of any department offering the masters.
(Source: minimum recommendations of the National Council of Graduate Schools re faculty preparation and numbers.)

3. Duplication - The number of programs which constitute duplication may be dependent on the discipline involved. It is generally accepted in studies in other states that, with the exception of teacher education at the masters level, a graduate program should serve a state (preferably regional) need and two programs constitute duplication.

Plans regarding a timetable may be ambitious, but it is hoped that program information can be presented to the Academic Affairs Committee in November for consideration of appropriateness of criteria, quantitative data, and written justifications. Next, the institutions will be called on again for additional information and justification as necessary. And finally, an Academic Affairs Committee report with recommendations will be offered at the Council in January.

Arizona (Board of Regents)

The Arizona Board of Regents do not have guidelines for the review of existing academic programs. A set of guidelines which outline the Arizona University System's plan for review of existing programs is in the process of being developed. The information below has been abstracted from some preliminary documents.

Preliminary Guidelines.

In the continuing responsibilities for long range planning, university and staff peronnel were charged with "establishing basic criteria and standards under which undergraduate curricula and graduate programs will be reviewed . . ."

It is established that periodic program review is desirable to strengthen existing programs and to eliminate or upgrade those which fail to meet acceptable standards. It is useful to examine answers to questions from which review outlines can be developed for assessment and evaluation by the universities and the Regents. By deciding upon periodic review using a set of criteria or guideline questions agreed upon by the universities, the Board can examine, through university-appointed internal committees and external consultants requested from an independent agency, CGS, how programs within the university system measure up to other programs in regional or national universities. The process suggested reserves many judgments to faculty, and the standards are determined by faculty and outside consultants. At the same time, the Board can assess the performance and achievements of faculty and students. The questions raised fall into five classifications: 1) program, 2) faculty, 3) students, 4) physical facilities and other resources, and 5) cost and production data. Although the proposal has been regarded as expensive by at least one of the institutions in the university system, the cost of not formulating objective judgments concerning the quality and effectiveness of programs is over the long term extremely high both in terms of state resources devoted to programs and in terms of the graduates of the program who are ill-educated or under-educated. The attached list of questions needs refinement and expansion, but they do reflect what other Boards are asking of their universities. (See Exhibit B)

Virginia (State Council of Higher Education)

Each year the State Council of Higher Education must review a substantial number of requests to plan and initiate new degree programs at Virginia's state colleges and universities. Integral to the review and approval process is the Council's concern that proposed programs should be productive and not unnecessarily duplicative of programs already in operation. To determine the need for proposed and existing programs, the Council usually studies enrollments and degrees conferred throughout Virginia, along with regional and national manpower requirements and training statistics. Existing degree programs will be evaluated by assessing the number of degrees conferred or by reviewing data on student enrollment.

The Council undertakes the quantitative evaluation of degree programs with full awareness that qualitative evaluation of these programs is at least as important. The Council believes, however, that the institutions of higher education themselves bear primary responsibility for the continuous evaluation of the quality of their curricula. Through its quantitative evaluation of degree programs, the Council will help to ensure the accountability of Virginia state-supported institutions of higher education to the citizens of the Commonwealth. Although it is primarily a responsibility of the institutions themselves to ensure that high standards are met by the degree programs they offer, the Council will request the institutions to develop procedures for the qualitative evaluation of degree programs, placing particular emphasis upon graduate programs, but eventually providing for the evaluation of undergraduate and community college programs.

Definition of a Degree Program

To get a proper frame of reference for the evaluation of degree programs by auditing degrees conferred (or program productivity), it is necessary to define a degree program.

For the purpose of evaluation, a degree program is defined as an area of specialization (major) for which recognition is intended to be given by the conferring of a degree. The following factors will be taken into consideration in identifying a degree program:

1. Program Nomenclature: The title by which the area of specialization is identified.

2. Program Classification Code: The code number under which degrees conferred are reported on the U.S.O.E. Higher Education General Information Survey, Form 2300-2.1.

3. Degree Level: The levels of the degree awarded, e.g., Associate's, Bachelor's, Master's, or Doctoral. If a program (major) at any level has several degree title options, such as MA, MS, MAT, the number of degrees are recorded in the aggregate as reported under the program classification code.

For example, a major in Biology (general) may have several master's degree options such as MA, MS, MAT, and MEd. Each option, however, should have the program classification code of 0401: Biology, general. All degrees conferred in that major would be reported on the Higher Education General Information Survey (HEGIS) of the U.S. Office of Education. The Council would review degree productivity by using O.E. Form 2300-2.1: Degrees and Other Formal Awards Conferred, Page 8, Line 53.

Degree Productivity Criteria

The first step in the evaluation of a degree program productivity should be its record of graduates. This will be determined by the tabulation of degrees conferred each year and the average per year over a period of several years. The measure of degrees conferred will take three factors into consideration: program start-up time, annual productivity expectations, and long-term productivity.

1. Allowance will be made for program start-up time. The Council recognizes that a certain amount of time must elapse for students to complete the requirements for a degree, and for a program to develop and gain acceptance. This time span varies according to degree level, program nature, and whether the students are part-time or full-time. The following allowances will be made before programs come under evaluation: 3 years for associate degrees; 3 years for bachelor's degrees; 2 years for master's degrees; and 4 years for doctoral degrees. At the end of each time period, the State Council of Higher Education will begin to monitor program degree productivity.

2. According to program level, a certain minimum annual average number of graduates will be expected. These numbers are: 10 associate in arts and associate in science degrees; 7 associate in applied science degrees; 5 bachelor's degrees; 3 master's degrees; and 2 doctoral degrees. Productivity will be reviewed each biennium, covering the preceding five years where possible. The five year average will be used to allow for year-to-year fluctuation in the number of graduates from a specific program.

Service Criteria

In the event that any degree program has less than the number of graduates established in the degree productivity criteria, the staff of the State Council of Higher Education will consult with institutional officers regarding other justifications for continuation of the program. Should an institution wish to continue a program, despite few graduates, it will be provided the opportunity to justify such a program by showing a "service" function from data reported on the Council Form A-1: Resident Classes Taught by Term.

1. Justification of a program on the basis of "service" would be determined from the Full-Time-Equivalent Student (FTES) enrollment for regular session, or summer session under special circumstances: 13-22 lower-division FTES, for Associate in Arts and Associate in Science degree programs; 13-17 lower-division FTES, for Associate in Applied Science degree programs; 10-14 upper-division FTES, for Bachelor's degree programs; and 8-12 first-year graduate FTES, for Master's degree programs.

2. In the event that any Doctoral degree program has less than the number of graduates established in the numerical criteria, an institution might propose a justification of the program on the basis of organized and sponsored research projects underway.

3. A non-productive Master's degree program which is carried along with a Doctoral program, may be "flagged", or removed from the list of non-productive programs. In this case, the productivity criterion will not be applied. However, at the same time then, the Council will remove that program from the inventory used in preparing the biennial budget for library holdings.

4. The Council will give special consideration to low-productivity interdisciplinary programs, which are composed of courses from other disciplinary programs rather than new courses.

Procedure

The biennial program evaluation will be initiated by the staff of the State Council of Higher Education and be conducted in the following manner:

1. Composite tables of degrees conferred will be prepared from previously verified data and each institution's report of Degrees Conferred (O.E. 2300-2.1): by degree level; by program classification code and nomenclature with cross-check on each institution's inventory of approved programs.

2. Draft tables will be sent to each institution for vertification of new data and comment on any discrepancies or irregularities. Council staff will confer with institutional administrators on any problems that might be identified.

3. A questionnaire will be sent to the appropriate institutional administrative officer for any degree program that fails to meet the established degree productivity criteria. Other factors that ought to be considered should be identified at this time.

4. Council staff will consult with institutional administrative officers on the questionnaire responses and the action to be taken on each program in question.

5. Council staff will report the evaluation results to the State Council of Higher Education for Virginia for its information or recommended action; e.g., continuation, probation, termination with adequate phase-out time.

6. An institution will be given the opportunity to appeal a Council decision under the same conditions as prescribed in the Council's Policy and Procedures for the Approval of New Degree Programs.

Vermont (Vermont State Colleges)

The Vermont State Colleges are currently in the process of developing criteria for the review of existing programs. Preliminary plans call for the inclusion of the following criteria:

1. program costs,
2. enrollment trends,
3. degrees conferred trends,
4. duplication of programs,
5. programs in light of program priorities (i.e., career programs will have higher priority than academic degree programs),
6. placement and employment trends.

It is anticipated that program cost will be the most difficult to obtain. An effort has been launched to obtain costing information based on Program I category in NCHEMS structure.

Nebraska (University of Nebraska)

The University of Nebraska, apparently as part of its budgetary process, has reviewed existing programs. A screening process was established whereby certain problem programs were identified and were then subject to a more detailed evaluation.

The Screening Process

A. Programs within departments and colleges have been identified through the Chancellors Council. For each program the department will prepare the following to be transmitted to APC through the Deans.

   1. Brief statement of goals and priorities for the next two or three years, both as a specific program and as part of a broader university community. Please identify those programs which must be preserved or improved as well as those which can be considered for discontinuance. Be as specific and concise as possible so that the objectives can be guidelines for program development.

   2. Preparation of one paragraph statement on how program meets the essential functions of the university.

   3. Brief statement of external indications of program quality, e.g., accrediting, departmental awards, achievement of graduates. grants, statements of support.

   4. Statement of factors which may influence future departmental enrollment patterns in the program.

   5. Estimate of portion of total departmental budget involved in the program.

B. The Office of Institutional Research will send the following data to departments to be routed to APC through the Deans as a part of the report. Departments should feel free to comment on this data and interpret it in the most useful way.

1. Estimates of degree costs, credit hour costs or other cost factors.

2. Course enrollment data indicating numbers and sources of students.

3. Estimated enrollments.

C. These questions concern the entire department and need be answered only once and not for each program.

1. What competencies exist within your faculty which could or should be utilized to extend educational opportunities to people of the State? What resources (such as released time for further study or special equipment) are needed to develop these opportunities into functioning programs?

2. What competencies exist in the faculty to improve research related to the Essential Functions of the University?

3. What competencies exist to enhance service to the State?

4. Are you aware of educational needs of the citizens of the State which are not now being met? How could the University meet them?

D. APC will review and assemble all preliminary data and forward it to the Chancellor and Vice Chancellors.

E. The Chancellor, in consultation with APC, will determine the programs for which the detailed analysis is to be done. Departments will be notified through the Deans.

Procedure for Detailed Evaluation of Selected Programs

This procedure will be applied to those programs selected by the Chancellor for a more detailed evaluation. The evaluation follows the guidelines approved in the Resource and Allocation Report approved by the Faculty Senate and the Academic Management Model agreed to with the Legislative Appropriations Committee.

Important: Not all items will apply to every unit. If a question does not apply, please so indicate. There is no intent in this procedure to limit flexibility. While some of the questions obviously refer to instruction, most of the procedure applies at least equally to the research and service functions of the University. Departments should feel perfectly free to go beyond what we suggest as minimal and to structure the data in ways which seem most useful to them. But in order to analyze departmental responses, some basic commonality of information and format needs to be generated.

In the case of proposed new programs, as much of the projected data as can reasonably be supplied should be made available and procedures similar to those outlined herein should be followed.

Much of the information requested is available through a variety of university offices: Institutional Research, Budget Office, Registrar, etc. To the fullest extent possible, departments should use already existing data sources. The entire report will be sent by the department to the appropriate Dean for transmission to the Chancellor through the Academic Planning Committee.

Each program will complete the information listed below. The information will be reviewed by a committee of peers who will provide an assessment of overall quality, a basic component of the evaluation of the program. The composition of the peer committees is described at the end of the list of data to be submitted.

A. Goals and Priorities

State the goals and priorities for the next two or three years, both as a specific program and as part of a broader university community. Please identify those parts of the program which must be preserved and improved as well as those parts which can be considered for discontinuance. Be as concise and specific as possible so that the objectives can be guidelines for program development.

B. Is There A Need For The Program

1. Does the program respond to long-term societal issues (racial, population, ecology, resources, etc.)? How?

2. Does the program respond to broad state or regional needs (agricultural, industrial, cultural, etc.)? How?

3. To what extent does the program supplement and strengthen other existing University programs? (e.g., does the program improve the cultural/recreational environment of the University?)

4. Is there adequate student interest and demand?

   a. What are the past and present enrollment patterns? What are future projections?

   b. Could the interest and demand be met better or more effectively at other institutions or by restructuring existing related programs?

   c. With regard to graduate and professional programs, what has been the placement pattern of graduates upon graduation for each of the past five-ten years?

   d. If future projections are available, what are the probable placement patterns for graduates over the next five/ten years?

5. To what extent does the program duplicate other programs

   a. within the institution?

   b. in other institutions?

   c. Can any duplication that exists be justified?

6. Could this program be maintained outside the University? Could it be maintained as a cooperative venture with a program outside the University?

C. What Is The Present Cost Of The Program?

Data will be supplied in the following categories:

1. Budgetary data, including three-year analysis with percentages of change in dollars and FTE for academic, administrative, graduate assistants, office, hourly operating, equipment, non-state funds, etc.

2. Basic non-budgetary statistics over three years, including:

   a. Credit hours, contact hours, majors, etc., and percentages of change

   b. Level of credit hours, including lower class, upper class, masters, Ph.D.'s, etc., and percentages of change.

   c. Others, including such items as Extension hours, etc.

3. Final analysis, including three-year figures and percentages of change for costs and FTE per credit hour, contact hour, major, graduate student, etc.

D. Is The Program Currently Or Potentially Of High Quality?

The department will supply data in the following categories:

1. Faculty, to include:

   a. Detailed faculty profiles, including courses taught, advising service, research, experience, etc.

   b. Department profiles, including range of staff experience, credentials, rank, pay, etc.

2. Instruction, to include:

   a. Curriculum, including courses eliminated, restructured, added, under experimentation, etc.

   b. Teaching evaluation, including evaluation by students.

3. Students, including:

   a. Objectives for students, including service students, majors, graduates, etc.

   b. Learning standards, including class size, teacher-student ratios, requirements, etc.

   c. Profiles (primarily for majors and graduate students), including pattern of courses, grades, etc.

4. Outside recognition, including accreditation, grants, departmental hours, etc.

5. What indications of quality are exhibited by placement and careers of graduates?

6. What support services are available for this program?

E. Are Present Resources Adequate In The Light Of Your Stated Goals And Priorities?

1. Is the present faculty adequate to provide this program? If not, what additional faculty must be provided, and at what cost? What are the possibilities for retraining present faculty to provide the needed faculty capabilities for this program?

2. What support services in terms of library, laboratories, computer facilities, technicians, demonstration centers, TV and audio-visual aids, computer assisted instruction facilities, etc., are needed for this program?

3. Are physical resources such as classrooms, offices, laboratories adequate for the program? If not, what needs are unmet?

4. Are instructional and research needs adequately met? If not, what is needed?

5. Are there sources of outside support for the program?

6. To what extent is the program constrained by other educational programs not under your contral (e.g., by courses offered or not offered by other departments, schools, or colleges)?

F. Does The Program Help Satisfy The "Purposes And Essentail Functions Of The University" Document Passed By The Faculty Senate On February 5? (Those questions originate from various parts of that document; they may be put in context by referring to it. If a particular question does not apply to the program or department being evaluated, please indicate so.)

1. Has the department used resources and developed procedures for optimizing class size, for improving the quality of instruction, or for improving the advising system within this program? How?

2. How has the department used its resources to improve the quality of research?

3. How has the department used resources and developed procedures to enhance its service to the State?

4. Has the department investigated (and introduced, if appropriate) new educational practices and procedures?

5. How does the department recognize teaching excellence, based on sound scholarship and creative achievement, as a major criterion for promotion, continuous appointment, and salary adjustment?

6. What efforts have been made to serve a wider clientele in this program through

   a. recruiting ethnic minorities and females?

   b. designing an advising system to encourage these students to complete their educational goals?

   c. providing easy access for those who wish to re-renter the system?

   d. providing intellectual stimulation and continual up-dating of previous training for persons who have finished the major portion of their education?

7. If this is a graduate program, what steps has your department taken to strengthen it?

8. In case you do not have a graduate program, are your faculty members provided an opportunity to participate in an interdisciplinary program?

9. How does your program relate to the extension functions of the University?

10. How is the program related to the natural and unique resources of the State? Is it concerned with agriculture and rural development or with allied programs?

11. If the program is a research program, how is it related to the Essential Functions of the University?

12. If the program is a professional program, describe the manner by and extent to which it depends on a liberal education base? Is this base adequate? Why? In what ways could programs in the areas responsible for liberal education be modified to provide a more suitable base for the program?

13. If the program is vocational in nature, explain in detail its relationship with a liberal education and the professional programs.

Detailed Evaluation of Selected Programs

DEPARTMENT_____ PROGRAM_____

Please provide the information requested below with regard to the program in the order listed. Attach an additional sheet if necessary, but try to be brief and concise. Please use the attached cost analysis form to report the portion of the department budget involved in program. Send the completed form to the Dean of your College. (This is Part A of the screening procedure.)

1. Brief statement of goals and priorities for the next two or three years, both as a specific program and as part of a broader University community. Please identify those programs which must be preserved or improved as well as those which can be considered for discontinuance. Be as specific and concise as possible so that the objectives can be guidelines for program development.

2. Preparation of one paragraph statement on how program meets the essential functions of the University.

3. Brief statement of external indications of program quality, e.g., accrediting, departmental awards, achievement of graduates, grants, statements of support.

4. Statement of factors which may influence future departmental enrollment patterns in the program.

5. Estimate of amount (in dollars) of total departmental budget involved in the program.

DEPARTMENT (OR INTERDEPARTMENTAL PROGRAM)_____

Please answer the following questions in the order listed. Departments need supply this information only once. Please be as specific as possible. Send the completed form to the Dean of your College. (This sheet refers to Part C of the screening procedure.)

1. What competencies exist within your faculty which could or should be utilized to extend educational opportunities to people of the State? What resources (such as released time for further study or speical equipment) are needed to develop these opportunities in into functioning programs?

2. What competencies exist in the faculty to improve research related to the Essential Functions of the University?

3. What competencies exist to enhance service to the State?

4. Are you award of educational needs of the citizens of the State which are not now being met? How could the University meet them?

SUGGESTIONS

Department of Program _____

Please use this form to make suggestions regarding the screening procedure. Specific suggestions about wording changes, additional questions, data supplied, etc. will be appreciated by Academic Planning Committee and will be used to improve this procedure in the future.

University of Nebraska

FORM D

Department_____ College_____ Year_____

Budget Line	Budget Line Code	PROGRAMS 1._____ Amount	FTE	2._____ Amount	FTE	3._____ Amount	FTE	4._____ Amount	FTE	5._____ Amount	FTE	6._____ Amount	FTE	7._____ Amount	FTE	Total Amount	FTE
A-Lines	11																
B-Lines	12																
C-Lines	13																
D-Lines	14																
Other Salaries & Wages	15-17																
Operating Expenses	30																
TOTAL OF ALL LINES																	

New York

The New York State Education Department has conducted two recent reviews of existing programs. In 1969 the Department began a review of master's degree programs for the purpose of preparing guidelines and making recommendations to the Regents. More recently it has reviewed selected doctoral programs.

Master Degree Review

Intensive planning for the survey began in the summer of 1969 with the development of a twenty-one page form designed to record data that would reflect the character of New York State's master's degree programs (see exhibit 3 at end of New York section). Fifty-six of the eighty-two institutions offering a master's degree in the state were selected for the study representing a cross section of the state's institutions.

During the academic year 1969-70, information was collected by mail on enrollments, admissions standards, student profiles, curricular content and development, grading, the credentials, experience, assignments of faculty members, and the adequacy of libraries and other facilities for graduate study. Written assessments covering such matters as academic advising, library services, the nature of the courses given in different curricula, and the quality of instruction were obtained from a sampling of ten per cent of the candidates at institutions with a total enrollment in master's degree programs of fewer than five hundred, and five per cent of the students where enrollments were five hundred or more.

Staff members from the Division of Higher Education, the Bureau of Teacher Education, and the Division of Independent Study visited all the institutions included in the project. Two or three persons spent one or two days at each, accumulating additional information, and gathering opinions from administrators, faculty, and students about the nature of the master's degrees offered, and the outcomes presumed to be achieved by programs leading to them. A total of 544 curricula, which included 55,602 courses taken, were examined in this way.

In addition, twenty-two of the visits were made by teams responsible for the registration of college and university curricula. About half the members of each team were consultants chosen because of their competence in those fields selected for special attention. During the course of their visits, these teams scrutinized with particular care each institution's methods of providing for the administration, staffing, and support of undergraduate and graduate curricula in the selected fields. Their reports were added to the information derived from other sources; then all relevant material was reviewed by the staff of the Bureau of College Evaluation.

A report on this review was prepared in 1972 entitled Master's Degrees in the State of New York 1969-70.

Doctoral Education Review

In January, 1972, the Regents announced the appointment of a Regents Commission or Doctoral Education which was given the charge to make

recommendations to the Regents for developing policy to meet present needs and to guide the future development of doctoral education. The commission was chaired by Robin W. Fleming, President of the University of Michigan. Other members of the commission were Robert A. Alberty, dean, school of science, Massachusetts Institute of Technology; Germaine Brée, Vilas professor of French and permanent member, Institute for Research in Humanities, University of Wisconsin; Thomas F. Jones, Jr., president, University of South Carolina; Edward M. Kresky, vice president, Wertheim and Company; John P. Miller, professor of economics and director, Institution for Social and Policy Studies, Yale University; and Frederick P. Thieme, president, University of Colorado. T. Edward Hollander, Deputy Commissioner of Higher and Professional Education, New York State Education Department, served as executive secretary of the commission, and Vernon Ozarow, director, Office of Science and Technology, New York State Education Department, served as staff director for the study.

The commission had five formal meetings during the year, complemented by individual conferences. At two of these meetings, in the spring and fall of 1972, the commission met with the chief executive officers and other representatives of the State's doctoral granting institutions to discuss the progress of the study with them and to solicit their observations. In addition, the Regents Advisory Council for Graduate Education, consisting of many of the graduate deans of the State's universities, was kept informed of the study's progress and their observations, too, were sought.

The recommendations of the commission in its final report to the Regents included the following:

Recommendations

(1) *The Regents should regard all the doctoral programs at both the public and private institutions as constituting together an interrelated system for doctoral education.*

The commission considers this recommendation to be fundamental. Doctoral education faces an abundance of complex problems at this time and its purposeful coordination at the State level is essential if New York is to preserve and strengthen its position in this vital area of higher education.

The Regents, as the responsible agency at the State level for coordinating the planning of higher education, should take steps to insure that all the State's doctoral programs, individually and collectively, are of the highest quality, that they are pursued with economy and efficiency, and that socioeconomic and cultural barriers to access are eliminated. The other recommendations of the commission are directed essentially toward the realization of these goals.

(2) *The Regents should have a general policy of concentrating programs at a relatively limited number of institutions in the interest of both highest quality and the most efficient and economical use of limited resources.*

An increasing body of information indicates that both high quality and economies of scale are generally found in institutions which have a major commitment to doctoral education and which have substantial programs in related fields. The advantage of mutual support of related programs wherein their physical and financial resources, and the interests, knowledge, and competencies of faculty and students are shared is best realized by concentrating these programs at a relatively limited number of institutions. At the same time, in a state as large and diverse as New York, due consideration must also be given to regional needs.

(3) *The Regents should establish special committees to review the quality of and need for doctoral programs in selected disciplinary areas. Only programs meeting standards of present or potential high quality, and need should be offered.*

This recommendation stresses the paramount importance of quality and need in doctoral education. Only programs meeting standards of high quality and need should be sustained. Even those programs which heretofore have been regarded as being of sufficient quality require serious review at this time of limited resources and new estimates of need. However difficult and challenging a task this recommendation presents, the problems it addresses must nevertheless be faced.

The commission recommends, *first*, that the Regents appoint evaluation committees in the disciplinary areas they wish to study and charge them with evaluating the programs according to specified criteria and procedures. The commission believes that evaluations are ordinarily best made by groups composed primarily of peers in the disciplinary area. These peers should be primarily from out-of-state, represent both the academic and nonacademic sectors, and include recent doctoral graduates.

The committees should employ combinations of objective and judgmental criteria in making their evaluations. The criteria should reflect the joint requirements of high quality and need. Among the specific factors that must be considered are quality of students, scholarly achievement of faculty, availability of laboratory and library facilities, success in graduating enrolled students, financial support, the supervision and guidance of students, and the need for each program and its appropriateness for students' career aspirations.

Within the context of this report, "need for programs" has several connotations. It includes the need to sustain the expansion and transmission of knowledge in even the most esoteric fields; the need to produce skilled manpower for employment in industry, education, government, or other sectors; the need to develop understanding and methodologies that may be used to deal with societal problems; and the need for new forms and types of programs in doctoral education. The evaluative procedure should give weight to these several aspects of need according to the special character of each discipline. Assessments of need should be made on regional, statewide, and national bases, again according to the special character of each discipline.

Consideration of the "appropriateness of programs for students' career aspirations" has generally not been emphasized enough in the evaluation of doctoral programs. The practice in most fields has been primarily to prepare scholars for research oriented careers in universities. The sharp contraction of the academic market and consequent greater likelihood of employment in other sectors and in new kinds of work activity necessitate much closer examination of the purposes and processes of doctoral education.

The commission recommends, *second*, that on the basis of the committees' reports and recommendations, the Regents should give consideration to which programs should be sustained placed on probation, or in case of serious deficiency istered. Probation of a program should be for a p of 3 years, at the end of which time its status shou eviewed. The question of withdrawal of registration presents difficult and painful problems for all concerned. When a program that fails to meet standards has been identified, the commission recommends that the Regents, in consultation with the institution affected, arrange for its phasing out over a reasonable period of time with due consideration for the faculty and students involved.

The particular statewide evaluations recommended here are envisaged as part of the current special reexamination and reevaluation of doctoral education in the State. The commission recognizes, of course, that the regular review of programs to maintain standards in all areas of doctoral study is the continuing task of the State Education Department. The commission recommends that the Department take the same actions proposed here with regard to support and registration of all doctoral programs on the basis of their review and assessment.

(4) *New York State should lend its financial support in both the public and private sectors only to programs meeting the standards of existing or potential high quality, and need. Programs without these qualifications should not be supported.*

The commission believes it is essential that financial support of programs by the State be provided selectively on the basis of quality and need. At a time when resources are constrained and when review and reevaluation are watchwords in doctoral education, the State should not expend resources on programs which do not meet standards of high quality, and need. These funds would be much more effective if reallocated to the support of those programs that do meet such standards.

The private institutions' main source of State funds is Bundy aid. Present practice calls for awards to be made for doctoral degrees granted from all registered programs. The commission recommends that awards be made only for degrees granted from individual programs that meet the standards determined by the Regents. Programs on probation would also warrant support.

The commission also recommends that financial support for doctoral education in the public institutions be given only on a selective basis to approved programs. In addition, the present funding formula for doctoral education in public institutions, which rests on enrollment, should be modified to incorporate a factor based upon awarded degrees. It is urged that the Legislature and Governor authorize funds for support of only those programs meeting the standards of high quality, and need.

(5) *New York State should strengthen its support of all programs that meet the standards of high quality and need.*

This recommendation is advanced in recognition of the need for the State to make an unqualified commitment to support its high quality and needed programs in doctoral education. Such programs are found in both the public and private institutions. Many of these institutions are national and international research centers drawing talent and money to New York, enhancing its economic development, and making available their many resources and talents for use by industry and government.

The commission recommends that the programs at the public institutions meeting the standards of quality and need be adequately supported. The selective funding of only such programs as these, as called for in recommendation (4), would allow for the concentration of resources to increase their support. It is strongly recommended that the State and New York City make a commitment to insure that the programs in their institutions that meet the standards of quality and need that have been developed are sustained with adequate support. It is urged that the Legislature and Governor authorize these funds.

Programs of quality and need should also be supported at New York's private institutions. They historically have produced most of the State's doctorates and will continue to do so in the foreseeable future. In view of their importance to doctoral education in New York, the commission believes that the level of Bundy aid could be doubled from the present level ($2,400 per degree, or approximately $400 per year per FTE student) without raising serious questions of its being disproportionate to the State's and city's subvention of doctoral programs in public universities. The award of Bundy aid only to qualified programs as called for in recommendation (4) would allow for the concentration of resources in their support.

(6) *The Regents should sponsor increased cooperation and coordination in doctoral education by the institutions within the State.*

In order to design and promote purposeful interinstitutional cooperation in as many ways as possible, the commission recommends that the Regents direct the establishment of committees of representatives in the various disciplinary areas from the State's doctoral institutions. The commission believes that each committee should be given a specific charge and be required to submit a report of its efforts. This system of committees should provide opportunities for both public and private institutions to achieve improved quality, economy, and student opportunity. This cooperation may proceed on a variety of levels: between individual institutions, regionally, statewide, and interstate, as the best opportunities may appear.

(7) *The Regents should insure that doctoral education at all institutions within the State be accessible to all qualified New York students. Economic and cultural barriers to the realization of this goal should be eliminated.*

This recommendation has a number of facets, but its essence is that access to doctoral education must be equally available to all qualified students at all the institutions, both public and private, within the State. The commission recommends that the Regents insure that economic and cultural barriers do not prevent the realization of this goal.

In furtherance of this objective the commission recommends that differences in tuition between the public and private institutions be considered to prevent this economic factor from limiting students' range of opportunities for doctoral education. The financial grants to be provided New York students in such a new program to achieve this objective should be based on need. In devising formulae for this purpose, however, these grants should not, when coupled with Bundy aid to the private institutions, exceed the limits established by the public cost subvention for doctoral education at the public institutions.

In addition, the commission recommends that sex and minority group membership be eliminated as barriers to enrollment in doctoral programs for qualified students. The Regents are urged to continue their efforts to insure that women and others heretofore excluded by those barriers have full opportunity to secure doctoral education so that they may subsequently participate more widely in society in all those activities requiring such preparation.

(8) *The Regents should require that, as part of the 1974 Statewide Master Plan Progress Report, all the doctoral-granting institutions be required to review their doctoral programs from the point of view of determining anew their purpose, place, and need in overall institutional plans.*

This recommendation is made to emphasize the responsibility and opportunity institutions have, particularly at this time and in conjunction with this specific study, to review their plans with respect to doctoral programs. The review should include consideration of the many factors that have been discussed in this report, such as the quality of and need for doctoral programs, but should also consider the relative importance of these doctoral offerings to the institutions' overall programs. The commission is particularly sensitive to the need for institutions to reconsider the benefits of allocation of resources to doctoral programs as compared with other needs on the campus.

It may be said that such reviews are part of the regular ongoing business of an institution and indeed it is expected that this is so. The reason for emphasizing it at this juncture is that within the context of the recommendations proposed in this report, a significant atmosphere for change is generated. The opportunity for effecting such change, where warranted, should not be lost.

(9) *The Commissioner of Education should end the moratorium on new doctoral programs when ready to implement criteria and procedures that will insure that any new programs fully meet rigorous standards of potential quality, and need.*

The commission recommends an end to the moratorium under the condition stated. They recommend that procedures be established that are appropriate to apply criteria for new programs: (1) The program must have a definite, strong commitment for support from its institution; (2) the proposed program should give definite promise of as high or higher quality than existing programs in the same field; (3) the need for the program must be clearly demonstrated; and (4) the impact of the new program on existing programs in the same field should be analyzed so that overall statewide strengths are preserved.

These recommendations have prompted reviews of all doctoral departments in eighteen major subject areas including chemistry, history, english, physics and astronomy. The reviews have been carried out through a process of on-site reviews by out-of-state experts. The reports by the out-of-state experts have been evaluated by another outside committee as well as by the Council of Graduate Deans. Both groups have subsequently made recommendations to the commissioner. The commissioner's recommendations have not been made public as of this date.

A key aspect of the New York doctoral reviews has been the use of consultants. The following are the guidelines for consultants in preparing their evaluation reports.

GUIDELINES FOR CONSULTANTS' EVALUATION REPORTS

As you know, a number of independent teams of consultants are making site visits to evaluate doctoral programs in the State. In order that subsequent comparisons may be made by the rating committees on as common a basis as possible, the structure and guidelines listed below are provided for the evaluation reports. The questions posed in each general subject area are not intended to constrain any further coverage or discussion you wish to include.

In reviewing and rating the programs in each discipline, the rating committee is presented with the material submitted by each department in response to the questionnaire, the consultants' report, and the institution's response to the consultants' report. While other material (national ratings, previous studies, etc.) may be available to the committee and may be included in their deliberations, generally the single most important "non-partisan" document is the chairman's report submitted by the visiting consultant team. Since, in many cases,this paper will be the major basis for the program rating, it is absolutely crucial that it contain as much documentation and specific evidence as possible, and that it be written in as dry and "objective" a manner as possible. It is also very important that any personnel recommendations, recommendations about future directions, administrative and financial matters be made in a covering (confidential) letter rather than in the body of the report. This letter will be sent to the president of the institution, but will not be an official part of the report or available

to the department. It will be available to the rating committee. (Since the result of the evaluation may turn out to be placement in category 2 or 3 (provisionally acceptable and unacceptable, respectively) it is advisable to avoid words of praise, which are sure to be pointed out as justification for placement in category 1, acceptable.)

The report should be a description of the presently existing strengths and weaknesses of the program. It should not contain a program rating, but should reflect the high standards against which the department will eventually be measured. Only programs of high quality or potential high quality which meet the needs of society and of the discipline will be maintained.

Points to be Covered in the Report

I. Program

(1) Does this program lead to a broad, well integrated knowledge of the discipline?

(2) Is it realistic in terms of faculty, facilities, financial support, institutional commitment, students and the employment market?

II. Program Structure

(1) Are the requirements (courses, language, dissertation) appropriate for a high quality program? Are they suitable to the program?

(2) Are the career goals of the students sufficiently taken into account?

(3) Is there appropriate advisement and counseling with respect to future employment?

(4) Is the breadth of coverage well provided for by the faculty and other resources available? Is there sufficient support for this program by other related ones at the institution?

(5) What has been the evaluation of the program over recent years? Has it been extensive and critical enough to effect the necessary maintenance of standards or improvement?

III. Program Financial Support

(1) Is the amount of financial support available sufficient to provide for the sustenance of the program at high quality?

(2) How does the amount and kind of support reflect upon others' perception of its quality?

IV. Faculty

(It is particularly important that the detailed basis for your judgment of faculty quality in each area or subdiscipline be included here.)

(1) What is the caliber of research and publication? How important to the field is the work being done?

(2) Is the faculty generally recognized nationally, by appointment to national honorary bodies, committee work, editorial service or by other recognition?

(3) Is the faculty's knowledge and understanding of their areas thorough, up-to-date and broad? Are they enthusiastically involved in their work? Do they project their enthusiasm?

(4) What is the caliber of the teaching? Is excellence in teaching a major consideration in decisions on salary, promotion and tenure?

(5) What is the caliber of advisement?

(6) How do the students rate the faculty as teachers, advisors and research leaders?

V. Students

(1) Is there an adequate supply of qualified students? Are the admission criteria stiff enough to keep out all but the most able? Is there enough financial support to attract the best students in competition with other institutions?

(2) If the institution has a special interest in developing the academically disadvantaged through provisional admissions or other methods, are the ultimate standards for performance of such students equal to the normal standards? How soon are unsuccessful students weeded out?

(3) Is the rate of progress of students to their degrees satisfactory? If not, why not? Is the rate of attrition too great? If so, what is its cause?

(4) Do the students interact and stimulate each other?

(5) Are adequate advisement and guidance available for students with regard to employment possibilities and opportunities? If not, how is it lacking? Are students provided with enough and supervised teaching experience? Do their teaching assignments contribute effectively toward their mastery of the field?

(6) Does the record of employment placement of graduates correspond to the institutional objectives and type of program? If not, what are the differences?

(7) What is the level of performance required on courses, qualifying and candidacy exams? What is the caliber of dissertations (by area) completed during the past five years?

(8) What specific attention is being given to recruiting minority students? Are there special funds available for such students? What success has there been in this effort?

VI. Facilities and Services

(1) Are the facilities and services generally adequate for the purposes of the program? If not, what particular inadequacies do you see? What are the limitations of the library holdings in each sub-discipline in which graduate seminars are offered and in which dissertations are directed?

(2) Are they adequate for the future plans of the department?

VII. General Comments and Suggestions

Please make any comments regarding aspects of the program not covered in this review which you think should be described.

Points to be Covered in Confidential Letter to President

I. Program and Program Structure

(1) Does the U.S. need students at this level, in these areas, at this time?

(2) Is this program taking into account the way the discipline is moving?

(3) How do the program's history and plans reflect upon its viability and growth?

II. Program Financial Support

(1) Is it likely that adequate financial support will continue to be available to the program from external sources?

(2) Is institutional support firmly enough committed for the program to continue at high quality?

III. Faculty

(1) What is your evaluation of tenure and recruitment practices?

(2) Has the department been successful in its faculty recruitment and retention goals?

IV. General Comments

(1) How is this program rated by the institution as compared with its other programs?

(2) What are this program's notable strong and weak points?

Procedure for Transmittal of Chairman's Report and Confidential Letter

When you have arrived at consensus on the report and the letter, you are asked to send both to us for transmittal to the institution. We will send the report as a draft to the Graduate Dean and ask him to comment on any factual errors, i.e. number of faculty, volumes in library, etc. Any suggested corrections will be transmitted to you for inclusion in the report if you are willing to accept them. The corrected report will then go as the official document to the president along with the confidential letter for his official response.

We hope to have your report within 3 weeks of the site visit. The institution has one week to respond to factual errors and two weeks to respond to the final document. Please note that all transmittals go through our office; nothing goes directly to the institution.

South Carolina (Commission on Higher Education)

The Commission on Higher Education began a review of graduate programs in 1973. Programs were selected for review based on a simple test of "low average degree production" of one doctorate or two masters degrees per year, on a six year average. As a result of this criteria nearly half of the existing graduate programs which had been in place prior to 1968 were thus called into question. All required reports are now in and a staff analysis is currently being prepared for review by a newly-established Standing Committee on Academic Program Development.

It is important to note that the criteria were used only to call programs into question, not to recommend discontinuation on those grounds only. It is anticipated that a few programs of marginal utility will be voluntarily eliminated.

North Dakota (State Board of Higher Education)

The Board of Higher Education does not have formal procedures for reviewing existing programs. They do have a Board Cirriculum Committee comprised of two of their seven board members. The committee meets intermittently with representatives of the Board Office and various groups from the state colleges and universities. More often they meet with the deans. During these discussions they also review the class sizes in the various subject areas and seek justification for the continued operation of small classes.

Tennessee (Higher Education Commission)

Tennessee does not have established procedures for the review of existing programs. They have reviewed programs that had low enrollments and/or few degree graduates. They have also reviewed programs that had much higher than average cost per student or per credit hour. The original method utilized for these reviews was to ask the institutions to indicate why their programs productivity was low in output or high in cost, or both; what they planned to do about it and to develop the report based on these responses which were shared with members of the legislature, the Governor and the general public. This procedure has resulted in a consolidation of a number of small programs and the elimination of a few.

New Jersey (Department of Higher Education)

The Department of Higher Education is now in the process of conducting an extensive review of 120 existing graduate programs in the six older state colleges of New Jersey.

The purpose of the review is to secure expert judgment and information about the programs, so that all of them might achieve a high level of quality and be sustained with adequate resources.

There are now one hundred and twenty graduate programs in six New Jersey State Colleges. Almost all are Master's programs, many of them in teacher education, several in other professional areas, and a few in the traditional arts and sciences. Although no one can reasonably expect a reversion to the feverish growth of graduate studies that occurred ten to twenty years ago, it is possible that the review of State College graduate programs might suggest selective increases as well as some decreases in program authorizations, course offerings, and enrollments. But until the review is substantially completed it will not be clear where the greatest need and the best potentiality for sustained high quality might be.

Evaluation of programs is carried out by consultants who are recognized scholarly and professional authorities, knowledgeable about education in their fields, and capable of making constructive suggestions for improving programs. Consultants are chosen jointly by the Department and the Colleges. Recommendations of persons to serve as consultants come from professional and scholarly associations as well as from the Colleges and the Department. These nominations are then discussed and agreed upon by faculty and by College and Department officials.

The procedures and the standards of judgment which govern the review are described in a document entitled "Developing and Strengthening Graduate Programs in New Jersey State Colleges". It was formulated by an Ad Hoc Committee of representatives from the State Colleges, chaired by Dr. Robert Birnbaum, former Vice-Chancellor of the Department. The document was approved by the Council of State Colleges and the Board of Higher Education. The review is being coordinated for the Department through the Office for State College Programs and is monitored by the Committee on Graduate Programs of the Council of State Colleges.

Criteria For Selecting Consultants

*1. recognized authorities in their fields

2. knowledgeable about and concerned with education in their fields

3. likely to understand readily the role and problems of state colleges

4. likely to help faculty and other develop constructive suggestions for improving programs

5. likely to appreciate the merits of differing opinions and approaches in a field

*6. not related to the institution offering the program for evaluation and not associated with any educational institution in New Jersey

7. not primarily associated with an institution from which a significant percentage of the program's faculty received their professional training

8. free of any other personal, institutional or ideological obligation that might be supposed in the normal case to affect impartiality of judgment

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* Items marked with an asterisk are taken verbatim from "Procedures for Evaluation of State College Graduate Programs", Item 2, paragraph b. These are criteria of eligibility, and presumably no exceptions would be made except in the clearest case, with general consent, when no suitable alternative is available. The other criteria raise more difficult questions of interpretation, but might be considered important criteria of desirability.

DEVELOPING AND STRENGTHENING GRADUATE PROGRAMS IN NEW JERSEY STATE COLLEGES

During the past five years, an intensive and sustained effort has successfully changed the undergraduate mission of the State Colleges of New Jersey from that of preparing teachers and other school personnel to that of multi-purpose institutions with a mixture of programs in the arts and sciences, professional education, allied health, and the emerging technical fields.

An essential element in the development of these institutions is the strengthening of existing programs and initiation of new departures at the masters degree level consistent with the Master Plan for Higher Education in New Jersey. To assist in this process, the Board of Higher Education has approved a procedure for systematic and analytical review of all State College graduate programs.

After a college has successfully completed the review process, the Board will permit the college to increase enrollment in approved programs, will increase faculty-support levels to those planned for similar programs at the State University, and will permit the establishment of new graduate programs in those areas justified by need and supported by adequate resources.

The attached materials indicate the bases for this process. The evaluation procedures to be followed are indicated in Procedures for Evaluation of State College Graduate Programs.

Since the procedures rely heavily upon the use of outside consultants, a protocol for consultants has been prepared entitled Guidelines for Consultants for State College Graduate Programs. The general criteria against which

programs will be evaluated are contained in the document Standards for the Development and Evaluation of Graduate Programs in New Jersey Colleges and Universities as supplemented by the document The Evaluation of Graduate Programs in the State Colleges of New Jersey.

The evaluation program itself is administered by the Department of Higher Education in cooperation with the State Colleges and monitored by a standing Committee on Graduate Programs of the Council of State Colleges. This Committee also serves as a forum in which more general issues of graduate education arising out of the evaluation effort can be discussed.

In addition to the materials indicated in the attached documents, evaluation will also consider analyses prepared by the colleges for each program containing data related to employment opportunities and manpower shortages in those fields in which these are applicable considerations, and the number of qualified applicants and available spaces for each of the previous years in which the program has been offered.

The ultimate objective of this review program is the establishment and continuation of graduate programs of high quality, responsive to student and public needs, and supported at an appropriate level which will place New Jersey in a leadership position in the provision of masters level education.

ACADEMIC PROGRAM CONTROL IN THE STATE UNIVERSITY SYSTEM OF FLORIDA

In response to the many inquiries about procedures followed in implementing academic program control within the State University System of Florida, Dr. Allan Tucker, Vice Chancellor for Academic Affairs, has prepared the following summary.

Historical Background: Development of the State University System

In 1905, the Florida Legislature established three state-supported institutions of higher learning, one in Gainesville for men, another in Tallahassee for women, and a third in Tallahassee for the black population. These three institutions, which were placed under the governance of a single lay Board of Control, have since become the institutions known respectively as the University of Florida, Florida State University, and Florida A and M University. Although several junior colleges were established between 1905 and 1960, no additional state universities were founded during this period. However, in the twelve-year span between 1960 and 1972, six new state universities were opened--an average of one new university every two years. Along with the three original institutions, the six new universities were placed under a single governing board. These nine state universities comprise the State University System of Florida. The single lay board governing all nine was statutorily reorganized in 1965 to become the present Florida Board of Regents, and consists of nine individuals, each appointed by the Governor for a nine-year term. The schedule for appointing Regents is such that each year one Regent completes his or her nine-year term and another is appointed as a replacement.

The responsibilities of the Board of Regents include the determination of the role and scope of each of the nine institutions, the development of policies for governing their activities, the establishment and placement of degree programs in the State University System in such a way as to avoid unnecessary duplication, and the control of supporting educational functions and operations. The Board of Regents is also charged with the responsibility of preparing an annual State University System budget request for submission to the Legislature. The Legislature determines the budget which will be approved for the State University System and makes a lump sum appropriation to the Board of Regents for this amount. The Board, in turn, allocates budget to each of the nine universities under its jurisdiction. The special issue of MEMO, dated November 1973, describes in general terms, guidelines and procedures for generating university allocations.

Currently, there are 28 state-supported junior and community colleges located throughout the State of Florida, each under the jurisdiction of its own local board rather than all of them under a single governing agency, such as the Board of Regents. The activities of the junior colleges are coordinated by a State Board of Community and Junior Colleges. Because of the existence of these junior colleges, four of the nine state universities were established as upper division institutions, i.e., they have no freshman or sophomore classes. They admit only junior college graduates or equivalents into the junior year and provide the final two years of baccalaureate programs, as well as selected master's programs, and in the case of one university, a doctoral program in education. In 1971 an Articulation Agreement between the state universities and the public junior colleges in Florida was developed, requiring all state universities to admit to their upper divisions any applicant who had graduated with an Associate of Arts degree from a Florida public junior college. Also, the agreement stipulated that academic credits earned in obtaining the Associate of Arts degree be accepted for transfer.

The Board of Regents employs a staff headed by a Chancellor, who serves as the chief executive officer of the State University System. He, together with several vice chancellors and a staff of approximately 100, including professional educators, technical and secretarial personnel, manages the State University System on a day-to-day basis in accordance with policies established by the Board of Regents and the Legislature. Responsibilities for planning and development in specific areas, such as academic affairs, fiscal affairs, and construction, are delegated to appropriate vice chancellors.

The State University System of Florida is analogous to a large multi-campus institution of higher learning. Each of the nine universities in the System is headed by a president, who is responsible to the Chancellor and the Board of Regents. The presidents have their own respective complements of vice presidents, deans, and campus administrators. In Florida, the nine campuses of the System do not have a common name, as is the case in other states, such as the University of California System or the State University of New York System. Each state university in the Florida System has its own unique name.

Academic Program Control

In 1969, the Board of Regents published a document entitled, Comprehensive Development Plan (CODE) of the State University System of Florida, 1969-1980. The document describes "in broad design the current operation of the State University System, sets forth in general terms the future goals of the System, and outlines the policies and procedures to be followed in attaining the stated goals." One such goal is to provide maximum educational opportunities for the citizens of Florida, without unnecessary duplication or proliferation of programs. Since this implies formalized academic program control and coordination, the responsibility for developing necessary implementation procedures was delegated by the Chancellor to the Vice Chancellor for Academic Affairs. There is no need here to provide detailed justification as to why academic program control is necessary. Rather, it is sufficient to recognize that the extent to which academic program control is exercised is directly correlated with the financial resources available, student demand, societal needs for individuals with specific competencies and skills, the job market, and faculty aspirations. The priorities established by a single institution within the System for the offering of specific programs may not necessarily coincide with the priorities of the System as a whole. Moreover, the Legislature takes into consideration the many and diverse needs of the entire state, and within the framework of available state resources, determines the allocation to be given to the State University System. Only academic program control on a systemwide basis can function with such a statewide perspective.

The nine state universities in Florida are general purpose universities and serve the citizens of the regions in which they are located. Not only do these universities have similar general purpose roles which dictate a commonality in program offerings, but in addition, each is charged with specific purposes and roles, which in turn, imparts a characteristic uniqueness. Thus, some universities have programs in certain disciplines which are not offered by the others. As general purpose institutions serving citizens in their respective regions, each institution is authorized to offer high demand, low cost programs at the baccalaureate level in the arts and sciences, education, and business administration. This is considered necessary duplication. If a university wishes to offer high cost, low demand programs at the baccalaureate level in the three broad discipline areas

mentioned above, or baccalaureate programs in other areas, or any master's or doctoral level programs in any discipline, authorization must be obtained from the Board of Regents. Currently, all of the Ph.D. programs available in the State University System except seven are offered by two universities, six are offered at a third institution, and one doctoral program at a fourth. Board of Regents approval is also necessary before a university may offer curricula and confer degrees in professional programs, such as medicine, law, engineering, architecture, social work, etc.

In 1969, when CODE was first published, program projections were made on the assumption that enrollments would continue to increase in future years at the same rate as in past years. The CODE document contains quantitative and qualitative criteria which universities are required to meet in order to be eligible to apply for permission to offer either master's or doctoral level programs. These criteria were based on the assumption that any university able to meet the criteria had attained the critical mass necessary to offer the next highest level degree in the discipline. For example, to be eligible for the proposing of a master's level program in a given discipline, the university must have conferred an average of ten baccalaureates per year over the previous three years; and for a doctoral program, an average of five master's degrees or equivalent per year over the previous three years. In addition, quantitative criteria were developed regarding the number of faculty with specific competencies required to teach in the graduate programs being proposed. Qualitative criteria, always more difficult to develop, were also included in the requirements universities must fulfill to be eligible to apply for authorization to offer any new degree program. These criteria are described in detail in the CODE document. Of course, a university also needed to justify its proposed program in terms of societal needs, availability of jobs for graduates of the program, etc. However, the biggest hurdle confronting any university when proposing a new program was demonstrating the presence of the necessary critical mass to enable offering the proposed program with minimal added resources.

Since 1969, when these criteria were developed, several unanticipated situations occurred. Although enrollments in the System as a whole increased slightly, enrollments in some universities remained the same or decreased from the previous enrollments. Concurrently, the economic conditions of the state and nation changed, resulting in fewer jobs available in industry, state agencies, and educational institutions for university graduates at all levels. The Legislature began to demand accountability for monies expended, effort of faculty and staff, the quality of university programs, and the employability of university graduates. Correspondingly, the resources appropriated to the State University System by the Legislature were less than expected. The University System and its member universities were forced to re-evaluate their entire operations, and in some cases, to modify their respective lists of priorities.

In spite of the profound changes described above, many of the younger universities were still able to meet the critical mass requirements stated in the 1969 CODE document, which made them eligible to apply for authorization to offer new graduate degree programs. Since most of the new state universities were opened within a twelve-year period, all seemed to meet the critical mass criteria at approximately the same time. Consequently, in 1970 the Board of Regents received requests for authorization from the younger universities to initiate 65 new doctoral level programs--a proposed increase by almost 70 percent beyond the number of Ph.D.

programs available in the State University System at that time. It became evident that meeting the criteria contained in the CODE document, including the acquiring of critical mass, could no longer remain the primary justification for Board of Regents authorization of new doctoral programs. Since 1969, the following steps were taken by the Board of Regents to provide additional academic program control in the State University System of Florida.

1. In 1971 the Board of Regents established a five-year moratorium on the addition of new Ph.D. programs. The moratorium will probably be extended upon the completion of the five-year period, except in the cases of selected disciplines. The moratorium made it possible to defer decisions regarding the approval of additional doctoral programs until a thorough review could be conducted concerning doctoral level education needs in the state as a whole.

2. In 1973 formal procedures were initiated for identifying similar discipline offerings within the State University System. Universities in Florida and across the nation often have different titles from one another for similar offerings in the same discipline. For example, the curriculum called Criminal Justice at one institution is termed Public Safety and Contemporary Society at another. There are also organizational differences in the manner in which academic offerings are presented. For example, Mathematics Education is a degree program at one institution, whereas at another it is a subspecialty or track of a degree program entitled Curriculum and Instruction. Because of these differences in nomenclature and organizational design, it is difficult to identify and compare offerings in the same discipline from one university to another in terms of cost effectiveness, enrollments of majors, degree productivity, job availability for graduates, etc.

Procedures have been developed for equating what are essentially similar programs of study in order to establish a basis for comparison and control. Universities are requested to assign to each of their degree programs and subspecialties an appropriate code number selected from the list of code numbers in the HEGIS discipline nomenclature--a nomenclature and coding system designed by the U.S. Office of Education for the purpose of surveying similar discipline offerings at colleges and universities in the nation. Universities were also asked to indicate whether an offering was a degree program or a subspecialty or track in accordance with specifications provided by the Chancellor's office outlining what appropriately could be considered a degree program and what appropriately should be considered a subspecialty or track of a degree program. Although each university is permitted to retain its own discipline titles for programs or tracks, the State University System office will consider all discipline offerings in the System in terms of the common HEGIS discipline nomenclature code numbers and the Chancellor's definitions of programs and tracks. Thus, by applying the same code number to similar discipline offerings at different state universities, regardless of what the offering is titled or which college or department within the university administers it; and by applying common definitions for programs and subspecialties or tracks, regardless of whether a given curriculum is considered by one university to be a program and by another to be a subspecialty or track of a broader based degree program, the State University System office can conduct comparison studies with more precision, identify more easily programs which may be duplicative, and if duplication is justified, can treat similar discipline offerings more equitably for funding and other purposes.

3. A policy was adopted which requires all universities to request and receive authorization from the Board of Regents to plan new degree programs, or subspecialties within existing authorized degree programs, prior to the submission of a formal proposal. After planning authorization has been obtained, universities may then submit proposals for new degree programs no sooner than one, two, or three years for bachelor's, master's, and doctoral programs, respectively. Exceptions to this time frame may be granted by the Board of Regents if a university can demonstrate the existence of an urgency which requires that a specific program be initiated earlier than could be permitted under the policy guidelines. Special forms requiring various types of information must be completed by universities requesting planning authorization. All planning authorization requests must be received by the Chancellor's office no later than February 1 each year. In 1973, the Chancellor's office received requests for planning authorization for 52 new programs. Of this number, 16 were approved for planning, and 11 were recommended for planning as tracks within existing authorized degree programs. By February 1, 1974, this office received approximately 45 requests from universities for authorization to plan new degree programs or subspecialties. These are currently being reviewed by the Chancellor's staff to determine which planning authorization requests will be recommended to the Board of Regents for approval.

4. Submission to the Board of Regents of a formal proposal for a new degree program or a new subspecialty or track in an existing degree program after planning authorization has been obtained must follow the procedures and criteria included in the 1969 CODE document. Proposals may be submitted only at specified times and must include justifications, availability of resources, anticipated student demand, manpower needs, anticipated costs, and other pertinent information. Although proposed programs, subspecialties, or tracks, which had received prior planning authorization may be denied depending on changes in manpower needs, student demand, and anticipated resources which occurred in the interim, it is assumed that prior authorization to plan, normally would insure favorable consideration by the Board of Regents.

5. An annual analysis of degree productivity is conducted for all degree programs at all levels. Every year the number of degrees awarded in each program for the previous three years is reviewed. If the number of degrees awarded during the three-year period under review falls below an established minimum number, then the program is placed on probation. For example, over any three-year period under review, each doctoral program must confer 6 degrees, each master's program must confer 9 or 15 degrees, and each bachelor's program must confer 15 or 30 degrees. The lower figure represents the expected productivity if the program is the highest level degree program authorized for a university in that discipline. The higher figure represents the expected productivity if the program is not the highest level degree program authorized for a university in that discipline. If the program remains underproductive for three consecutive evaluations, it is then subject to an in-depth study, the results of which will determine whether the program should be terminated, absorbed as a track in a broader based degree program already authorized, or whether the underproductive program can justifiably be continued. It would be impossible to conduct a thorough investigation of every program every year. The use of degree productivity as a means of identifying programs to be evaluated rests on the assumption that with the exception of professional programs such as medicine and law, degree productivity is the best single index which correlates meaningfully with enrollments of majors in the program, student demand, job market for graduates, quality of the program, etc. In 1973, 44 graduate programs were identified as underproductive, 16 were placed on probation, and it was recommended that 22 be absorbed as tracks or subspecialties of existing authorized degree programs. The 1974 analysis includes a review of baccalaureate as well as graduate degree productivity. On the basis of the 1974 analysis, it is anticipated that a total of 113 degree programs will be placed on probation. Of this number, 9 are doctoral, 38 are master's, and 66 are baccalaureate degree programs.

6. Continuing education and off-campus courses and programs have been under the general supervision and control of the Chancellor's office since 1965. The State of Florida is divided into nine geographic regions, and each university is assigned responsibility for serving the region in which it is located. A university may offer within its region, and without prior approval from the Chancellor's office, any off-campus credit courses or programs which have been authorized for on-campus instruction. Upon request, a university may offer credit courses or programs outside of its assigned region only if the university located in the outside region does not have the program authorization or the capability to respond to the request. Requests for universities to offer credit courses or programs outside of their respective assigned regions must be approved in advance by the Chancellor's office. There appears to be no need to employ personnel for the purpose of guarding each university's territorial rights. If a university offers a credit course or program outside its own region without advance approval from the Chancellor's office, the university whose territory has been encroached upon usually submits a complaint very quickly to the University System Vice Chancellor for Academic Affairs.

Conclusion

The foregoing survey is the first step in the process of further developing the program review procedures utilized by the Iowa Board of Regents. In the weeks ahead a more detailed analysis of the policies and procedures will be conducted. This analysis will hopefully lead to a series of recommendations regarding program review. If feasible, a model process will be developed which will take advantage of the information gained in this survey and analysis. This eclectic model will hopefully provide for the comprehensive review of programs yet provide for a degree of flexibility so as to not unduly inhibit new and innovative approaches toward learning. Hopefully too, this model will provide for sufficient input from the various institutional constituents so as to maximize its legitimacy on campus. This model will then be recommended to the Iowa State Board of Regents for use in Iowa.

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1) Leonard E. Goodall. "Emerging Political Issues for State Coordinating Boards" Journal of Higher Education Vol. XLV, No. 3, March, 1974, pp. 219-228.

2) Robert O. Berdahl. Statewide Coordination of Higher Education Washington, D.C.: American Council on Education, 1971, p. 136.

3) Op. cit Berdahl, p. 158

4) Glenny (et. al.) Coordinating Higher Education in the '70's Berkley, Calif.; Center for Research and Development in Higher Education, 1971, p. 41.

5) Education Commission of the States. Coordination and Chaos Denver, Colorado, December, 1973. Report No. 43, p. 51.

6) Ibid., p. 51.

7) Ibid., p. 51-52.

PROCEDURE FOR REVIEW AND RECOMMENDATION OF NEW DEGREES AND NEW DEGREE PROGRAMS

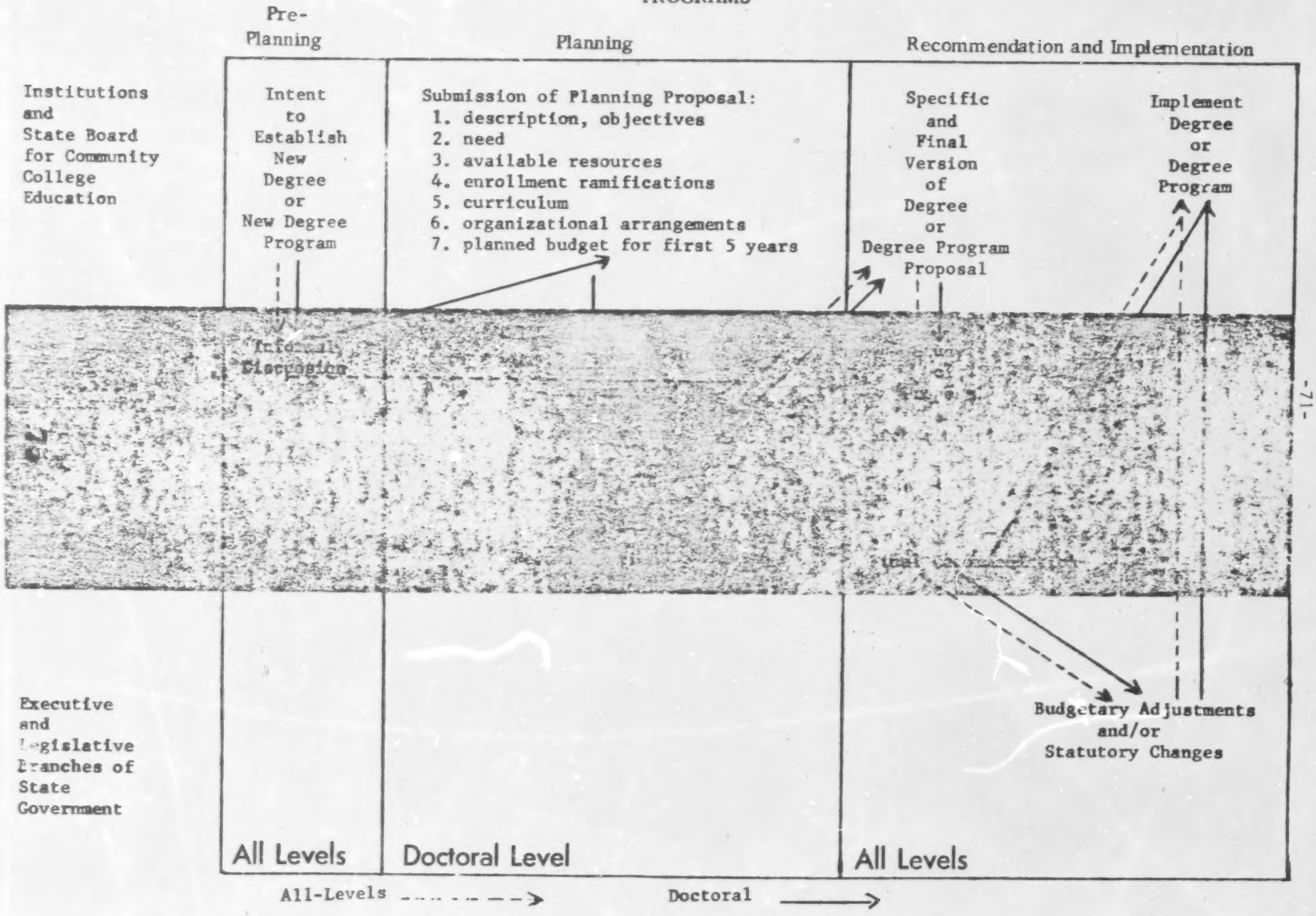

EXHIBIT 2

Working Document

Division of Four-Year Programs
Bureau of Academic Programs
Pennsylvania Department of Education

January 10, 1975

TIMELINE FOR PROGRAM APPROVAL PROCEDURE

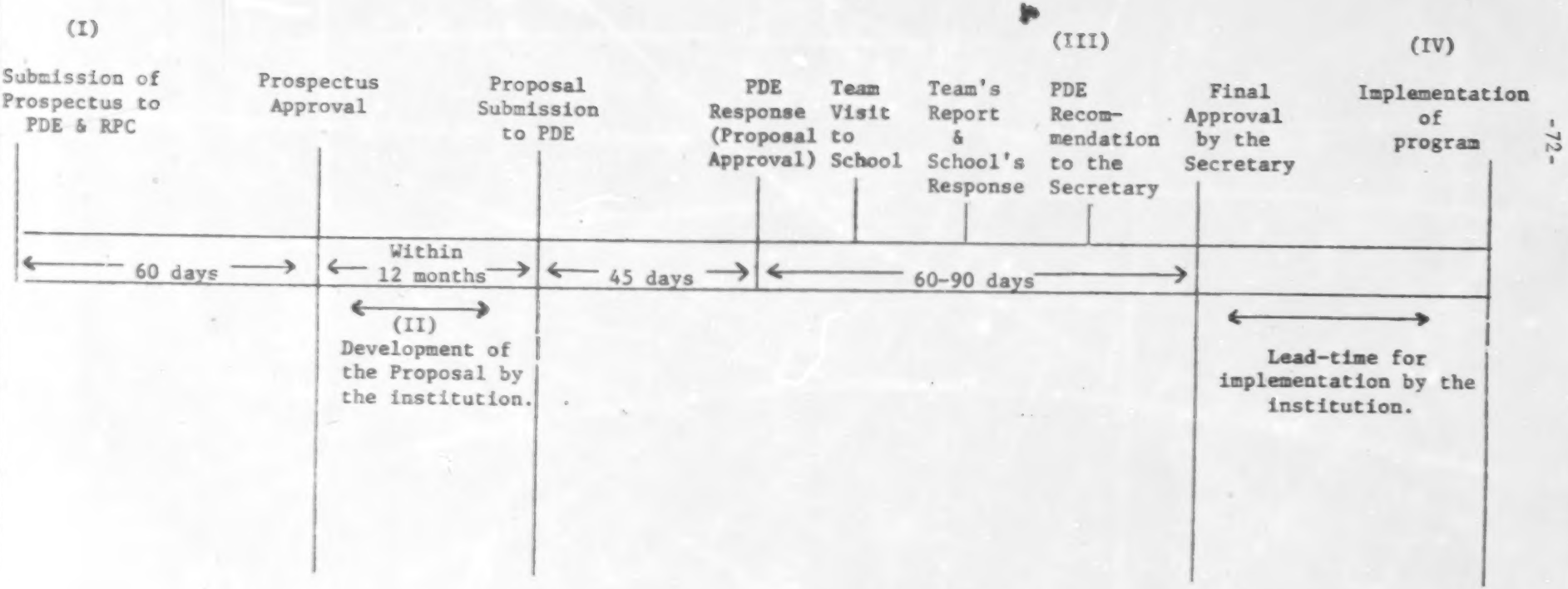

EXHIBIT 3

Form for Bureau Use to Collect Data

New York Master's Degree Study

NAME OF INSTITUTION: DATE:

DEG.	CURRIC.	STUDENTS ENROLLED				FACULTY PROFILE						DEGREE REQUIREMENTS (i.e., no. of credit hrs., residence requ., lang., essay, comp. exam, time limits, other)
		Matriculated		Non-matric		Full-Time			Part-Time			
		F/T	P/T	F/T	P/T	Doct	Mast	Bach	Doct	Mast	Bach	

1. Faculty

   a. Institution's statement of qualifications for graduate faculty status — Page 2

      1) Policies governing graduate teaching
      2) Backgrounds of faculty as reflected in vitae

   b. Educational qualifications of faculty

   c. Faculty experience (years of graduate teaching) — Page 3

   d. Publications

      1) Quantity
      2) Quality
      3) List the more and less active faculties by curricula.

   e. Staffing of curricula, including balance of specialties — Page 4

   f. Superior curricula: List curricula judged superior on a state-wide basis, using educational qualifications of faculty, faculty experience, quantity and quality of publications, and staffing as the criteria.

   g. Faculty Working Conditions, including salary scale; allowances in faculty workloads for thesis direction, advisement, and research, sabbatical and other leaves; research funds available; and policy on distribution of research funds. — Page 5

(New York)

2. Administration — Page 6

   a. Administrative organization for graduate programs

   b. Formation of educational policy, including role of the faculty and of the academic officers

   c. How are institutional evaluations of its own programs carried out?

3. Students — Page 7

   a. Admission policy, including institutional element responsible for its formulation, checks against premature disclosure of student records. Do these policies cover all graduate students seeking graduate credit?

   b. Admission procedure, including documents required and the consideration given to them, for matriculated and for non-matriculated students.

   c. Student Records (a sampling of 10% at institutions with 500 graduate students and 5% at those with more than 500 graduate students). — Page 8

   d. Admissions profile of entering class, shown in terms of undergraduate record and achievement tests. — Page 9

   e. Overall Quality of Students: below average, average, above average, or superior, based on undergraduate record and tests.

   f. Grade distribution for past 2 years — Page 10

   g. Attrition, including percent who do not complete degree, and principal causes assigned by the institution.

   h. Admissions and educational goals, including any indications of the success of the admissions policy or the quality of education.

   i. Academic advisement of Matriculated and Non-matriculated Students, including policy and practice. — Page 11

   j. Students' Opinions Sampled by Questionnaire — Page 12

      1) Reasons for choice of institution
      2) Student participation in policy-making for institution and/or curriculum
      3) Student assessment of adequacy of advisement
      4) Student assessment of adequacy of library
      5) Student evaluation of programs, including strengths and weaknesses cited

K. Scholarships, Fellowships, Assistantships, and Loan Funds available to Master's degree students in 1969-70, including number of teaching assistantships and the workloads and supervision of teaching assistants. Page 13

4. Library Page 14

Adequacy of the library in terms of collection, staff, facilities, and budget.

5. Facilities Page 15

Adequacy of classrooms, studios, laboratories, etc. to the curricula.

6. Curriculum Page 16

a. Educational goals and planning of curricula. At doctoral institutions, is the Master's degree a consolation prize?

b. Extent to which research is a significant element in Master's curricula.

c. Provision for testing of essential scholarly tools.

d. Curriculum policies, including availability of undergraduate courses for graduate credit, enrollment of undergraduates in graduate courses, distinction between undergraduate and graduate work, distinction between professional and academic graduate curricula, remediation of deficiencies. Page 17

e. Innovative elements in graduate programs.

7. Evaluation of Master's Essays sampled Page 18

8. Follow-up Studies of Graduates, including number actively employed in profession, number enrolled in doctoral programs, contributions made to fields of endeavor, if available. Page 19

9. SUMMARY Page 20

a. Substandard and superior programs, based on educational qualifications of faculty, adequacy of staffing, quantity and quality of faculty publications, departures from Commissioner's Regulations, and those elements reviewed above under "Curriculum".

b. General impressions, including clarity of educational goals; adequacy of curricula; training, experience, and productivity of faculty; quality of students, academic counseling, library, other facilities; quality of graduates.